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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No.	P03773US1
First Inventor or Application Identifier	Bonnstetter,
Title	POSITION ANALYSIS SYSTEM & METHOD
Express Mail Label No.	EL32712038US

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. [X] *** Fee Transmittal Form** *(e.g., PTO/SB/17)*
   (Submit an original and a duplicate for fee processing)

2. [X] **Specification** [Total Pages __]
   (preferred arrangement set forth below)
   - Descriptive title of the Invention
   - Cross References to Related Applications
   - Statement Regarding Fed sponsored R & D
   - Reference to Microfiche Appendix
   - Background of the Invention
   - Brief Summary of the Invention
   - Brief Description of the Drawings *(if filed)*
   - Detailed Description
   - Claim(s)
   - Abstract of the Disclosure

3. [X] **Drawing(s)** *(35 U.S.C. 113)* [Total Sheets 15]

4. **Oath or Declaration** [Total Pages 6]
   a. [X] Newly executed (original or copy)
   b. [ ] Copy from a prior application (37 C.F.R. § 1.63(d))
      (for continuation/divisional with Box 16 completed)
      i. [ ] **DELETION OF INVENTOR(S)**
         Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

5. [ ] Microfiche Computer Program *(Appendix)*

6. Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*
   a. [ ] Computer Readable Copy
   b. [ ] Paper Copy (identical to computer copy)
   c. [ ] Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. [ ] Assignment Papers (cover sheet & document(s))
8. [ ] 37 C.F.R. §3.73(b) Statement *(when there is an assignee)* [ ] Power of Attorney
9. [ ] English Translation Document *(if applicable)*
10. [ ] Information Disclosure Statement (IDS)/PTO-1449 [ ] Copies of IDS Citations
11. [ ] Preliminary Amendment
12. [X] Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*
13. [X] * Small Entity Statement(s) (PTO/SB/09-12) [ ] Statement filed in prior application, Status still proper and desired
14. [ ] Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
15. [X] Other: Cert. of Express Mail

16. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:
   [ ] Continuation [ ] Divisional [ ] Continuation-in-part (CIP) of prior application No: _____/_____
   Prior application information: Examiner _____ Group / Art Unit: _____
   For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

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Signature	*(signature)*	Date	January 7, 2000

Applicant or Patentee: Bill J. Bonnstetter and Susan J. Fronk _____

Serial No. or Patent No:_____

Filed or Issued:_____

For: POSITION ANALYSIS SYSTEM AND METHOD _____

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) AND 1.27(c)) – SMALL BUSINESS CONCERN

I hereby declare that I am

    [X]   the owner of the small business concern identified below:

    [ ]   an official of the small business concern empowered to act on behalf of the concern identified below:

    NAME OF CONCERN: Performance DNA Internationl, Ltd. _____

    ADDRESS OF CONCERN   16020 N. 77th Street, Scottsdale, Arizona 85260 _____

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled POSITION ANALYSIS SYSTEM AND METHOD by inventor(s) Bill J. Bonnstetter and Susan J. Fronk , described in

    [X] the specification filed herewith.

    [ ] application Serial No._____, filed _____.

    [ ] Patent No. _____, issued _____.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

    *NOTE: Separate verified statements are required from each named person, concern or organization
            having rights to the invention averring to their status as small entities. (37 CFR 1.27).

FULL NAME _____
ADDRESS _____
[ ] INDIVIDUAL   [ ] SMALL BUSINESS CONCERN   [ ] NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of payment, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

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Page 2 of 2
Small Entity Status

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment. or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME AND TITLE OF PERSON SIGNING Bill J. Bonnstetter, President

ADDRESS OF PERSON SIGNING SIGNATURE 16020 N. 77th Street, Scottsdale, Arizona 85260

SIGNATURE _____ DATE _Jan. 6, 2000_____
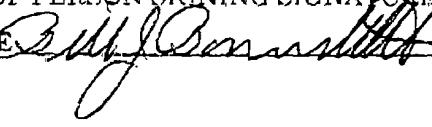
TITLE: POSITION ANALYSIS SYSTEM AND METHOD

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I. CROSS-REFERENCE TO RELATED APPLICATION

This application claims the benefit of U.S. Provisional Application Serial No. 60/115,300 filed January 8, 1999.

II. INCORPORATION BY REFERENCE

The entire contents of U.S. Patent Number 5,551,880, issued September 3, 1996, are incorporated by reference herein.

III. BACKGROUND OF THE INVENTION

A. *Field of the Invention*

The present invention relates to a system and method of testing or interviewing persons for a particular job or work position, and in particular, to a system and method for improving the likelihood the person will perform highly in the particular job or assisting the person to increase performance in the particular job, particularly jobs that require human interaction.

B. *Problems in the Art*

It is difficult to accurately predict how successful a person will be in a particular job or work position. Traditional hiring practices involve reviewing a potential employee's resume and personally interviewing the candidate. Studies have found this a remarkably ineffective, or at least unpredictable, method of hiring highly performing individuals for particular jobs. For example, a recent university study suggests that while 90%

2

1   of employees are hired by personal interviews, only 14% of

2   those hired turn out to be highly successful in the

3   particular job.

4   It is believed that the reason for the low success

5   rate is due in part to human nature. Interviews have

6   conscious or unconscious biases that effect judgment or

7   ability to predict a success employee. Or interviewers do

8   not know the important matters about the job and/or the

9   person in relation to the job to effectively interview the

10   potential employee. See, for example, Plotkin, Harris,

11   "Building a Winning Team", Griffen Publishing, 544 Colorado

12   Street, Glendale, CA (1997).

13   People have been using skills for selection of

14   employees for years. However, they can not validate the

15   process. They are biased and can not identify if they are

16   measuring a skill, behavior or attitude, for example. If

17   skills always led to performance, all CPA's, attorneys,

18   medical doctor, nurses, engineers and artists would be

19   successful. If intelligence always led to success, all

20   valedictorians would be successful.

21   The behaviorist who has used behavior as a part of the

22   selection process is biased and does not acknowledge the

23   need to look at skills, intelligence, attitudes and

24   beliefs.

25   The amount of people who understand and use attitudes

26   for selection are biased and do not look at the other views

27   either. Generally all the people who are involved in

28   selection are biased and have trouble truly looking at a

29   job or position the way they should be viewed. No one

30   addresses the passions of individuals that can be met by

31   certain jobs. Selection asks, "What does it take to be a

32   key performer in a certain job?". While ways exist to

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1 measure talent, there has not been a way to be able to find
2 a place to drop the talent in, i.e., match a job to the
3 talent.

4   Numerous and increasing attempts have been made to
5 create a system for hiring or identifying which persons
6 will be successful for particular jobs. A number of
7 testing systems have been developed and are in use. Many
8 focus on the technical competency of the potential
9 employee. Many focus purely on the behavioral
10 characteristics of the employee.

11   One such system is described in U.S. Patent 5,551,880
12 (incorporated by reference herein). This system extracts
13 information from the potential employee through a
14 questionnaire. In the case of this patent, the
15 questionnaire probes the behavioral and value
16 characteristics of the individual. Those characteristics
17 are compared to behavioral and value characteristics that
18 are exhibited by persons successful in the particular job.
19 A computer can be used to keep track of the questionnaire
20 answers, their ratings, and their comparison to standards,
21 and a printout can be created which allows the employer to
22 evaluate the potential employee to see if they match up
23 with successful models for the job. Alternatively, the
24 system can be used to test existing employees to see if
25 they fit a job, or to help them improve in a job.

26   While the patented system described previously has
27 been found to be a much better predictor of employee
28 success for a job, there are still needs in the art. The
29 previously described system is focused on the people and
30 their characteristics. More emphasis, or at least
31 significant emphasis on what characteristics the job

4

1 requires, may lead to even better predictions of employee

2 success.

3   There are currently discussions of "competency" for

4 jobs. See, for example, Parry, Scott B., "Just What is a

5 Competency?" June 1998 issue of TRAINING, pp. 58 - 63;

6 Klein, Andrews, L., "Validity and Reliability for

7 Competency-based system: Reducing Litigation Risks", Vol.

8 28, COMPENSATION & BENEFITS REVIEW, 07-17-1996, pp. 31(7).

9 While there is much discussion of competency, an effective

10 way to measure the talent of a person and then find a job

11 to maximize the talent of the person is not known.

12   Therefore, there is a real need in the art for an

13 improvement regarding this question. It is therefore a

14 principal object of the invention to provide a system and

15 method that improves upon or solves the problems and

16 deficiencies in the art.

17   The many attempts to shift the focus of inquiry from

18 interviews and resumes to an evaluation of "competencies"

19 of potential employees beg the question—how does one define

20 "competencies" and which ones are relevant?

21   There is no agreement on these questions. Many

22 attempts at using "competencies" mix hard skills, e.g.

23 technical competencies, with what are sometimes called

24 "soft skills", e.g. more behavioral related. Others come

25 up with generalized, "one size fits all" approaches.

26   Some companies hire consultants to tailor competency

27 models to a particular company or job.

28   The problems with present attempts include inaccuracy,

29 biases, cost, and ineffectiveness. A "one size fits all"

30 approach does not take into account that different jobs

31 require different competencies. It also does not allow for

32 differences in company goals or philosophies.

1 A significant problem in many present competency based

2 systems is bias of the creator of the system. For example,

3 no matter how experienced or educated, a consultant or

4 system developer has patent or latent biases. They

5 invariably show up in the definitions, questions, and

6 processing of such systems. Also, a consultant many times

7 is affected by what the consultant perceives as the desired

8 outcome of the client.

9 Specific hiring of consultants is costly. Some charge

10 several thousand dollars a day. A customized system for a

11 company can cost tens of thousands of dollars. And, again,

12 biases are likely.

13 Also, the effectiveness of present systems is

14 questionable. Most are based primarily on the real or

15 perceived needs of the company, and not upon the needs of

16 the position. Therefore, many good candidates for

17 effective or even superior performance in a position are

18 not identified.

19 **III. OBJECTS OF THE INVENTION**

20 Therefore, there is a real need in the art for

21 improvement in the way competencies are identified for good

22 performance in a job or position.

23 The present invention provides a method and apparatus,

24 which improves over or solves problems and deficiencies in

25 the art.

26 Other objects, features and advantages of the present

27 invention include, but are not limited to:

28 1. A focus on first defining a job by competencies

29 and the most important competencies.

30 2. Utilization of such a defined job to (a) screen

31 potential employees for the job, (b) evaluate

6

existing employees in the job, (c) assist
interviewer of job applicants ask the right
questions, (d) develop employees, (e) develop
strategies for matching employees to jobs, and/or
(f) help with future business planning.

3. Has greater accuracy.

4. Is quicker.

5. Is economical.

6. Is more flexible.

7. Is reusable.

8. Diminishes or eliminates bias.

9. Assists in ultimate hiring decision.

10. Is adaptable to number of jobs/uses.

11. Can be computerized /automated.

12. Is useable with other methodologies.

13. Provides technology, methodologies and processes.
for aligning the behaviors, attitudes and
performance of individuals with organizational
needs.

14. Identifies, calibrates and prioritizes the
competencies required to produce superior
performance relative to specific positions.

15. Includes a process for assessing an individual's
performance against the competency requirements of
their position.

16. Provides the framework for career development
plans focused on developing the competencies
required for superior performance.

17. Reinforces the behaviors necessary for superior
performance.

18. Identifies the behaviors that may hinder superior
performance.

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19. Minimizes the time required to develop competency models.

20. Assists in the development of competency profiles that clarify job descriptions in terms of behavior.

21. Provides a job-related basis for coaching and mentoring.

22. Provides job-related links between the recruiting, selection and performance management processes for specific positions.

23. Can be implemented using paper and pencil, Intranet or Internet.

24. Provides methodologies for developing competency-based succession plans for key positions.

25. Provides the framework for tailoring training and development programs to individual needs.

26. Collects and interprets multiple inputs and perspectives on position requirements and performance issues.

27. Clarifies where training and development investments will be cost effective and where they may not be justified.

28. Provides insight into management or cultural biases on performance issues.

29. Provides information that can assist new hires to understand what behaviors they will need to demonstrate in a specific position.

30. Provides a framework for assessing the impact of internal or external changes on the behaviors necessary for performance in a specific position.

31. Assists organizations to develop a baseline for an inventory of their current workforce competencies.

1   32. Provides a competency-based framework for
2   workforce planning.
3   33. Provides objective, job-specific language for
4   appraising performance.
5   34. Assists in the development of a competency-based
6   compensation system.
7   35. Provides a methodology for clarifying the shifts
8   in importance of soft skill competencies between
9   positions represented in career ladders or within
10   job families.

11 These and other objects, features, and advantages of
12 the present invention will become more apparent with the
13 accompanying specification and claims.

IV. SUMMARY OF THE INVENTION

15 The present invention comprises a system and method
16 for analyzing a job or work position and then evaluating
17 applicants for the position to determine if their
18 characteristics will make them high performers in the
19 position. The present invention is particularly useful
20 relative to jobs or positions that have human interaction,
21 either with persons in side the company, e.g. co-workers,
22 or persons outside the company, e.g. customers, suppliers,
23 etc.

24 First, a set or family of characteristics, herein
25 called Competencies, specifically related to observable
26 behaviors in the workplace for most jobs or positions is
27 defined.

28 Second, one or more persons familiar with the
29 position, and preferably highly performing individuals in
30 the position, are interrogated regarding the Set of
31 Competencies. Optionally, not only are the individuals

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queried for skills needed to have high performance in the job, but also the values/attitudes and others traits or characteristics that seem to match up with high performance in the job. Other characteristics that can be tested are risks involved individually or for the company with the job, beliefs associated with high performers in the job, and intelligence.

Third, the responses are analyzed from the standpoint of the interrogations. The manner in which the Competencies relate to a given job can then be analyzed. At least some Competencies are related to skills, attitudes/values, and/or behavioral traits. Risks could also have identified factors, as could others, if desired. Biases are dealt with or removed by using observable behaviors in a job to define the job and by surveying a set of high performers relative to these observable behaviors.

From those Competencies, essential Competencies for the particular job can be identified. They are correlated with skills, attitudes/values, and/or behavioral traits.

From this key Competencies identification, a plan of action can be developed to better interview and identify those candidates for the job that are most likely to be high performers. Specific questions for interviews can be fashioned. If the key Competencies are identified in the candidate, the candidate is likely to be a high performer, even if the resume or the personal opinion of the interviewer suggests otherwise.

Alternatively, the report can be shared with existing employees or workers to assist them to develop the Competency for a certain job, or to assist them to improve in the present job with a very specific development program.

10

V. BRIEF DESCRIPTION OF THE DRAWINGS

Figure 1 is a diagrammatic view of a system according to an embodiment of the present invention.

Figure 2 is a flow chart of the method of using the system of Figure 1 according to the invention.

Figures 3A to 3U are an example of a Position Survey used with the method of Figure 2, including indicia to assist in an understanding of a method of processing the Position Survey.

Figures 4A and 4B are tables used in processing the Position Survey.

Figures 5A and 5B are tables used in processing the Position Survey.

Figures 6 A to 6AB are an example of a master Position Report used to create specific Position Reports for a variety of jobs or positions from results of a Position Survey.

Figures 7A to 7N are a hypothetical specific Position Report for a first job.

Figures 8A to 8P are a hypothetical specific Position Report for a second job.

Figures 9A to 9P are a hypothetical specific Position Report for a third job.

Figures 10A to 10P are a hypothetical specific Position Report for a fourth job.

Figure 11 is a flow chart for an optional procedure for validating a Position Report.

Figures 12A to 12K are an example of a Personal Competency Inventory that can be used with the method according to the invention, including indicia to assist in

11

1   an understanding of a method of processing the Personal

2   Competency Inventory.

3   Figure 13 are tables used on processing of the

4   Personal Competency Inventory.

5   Figures 14A and 14B are a hypothetical example of a

6   Personal Competency Inventory Report.

7   Figure 15 is an example of a Feedback Survey for a

8   person performing the job.

9   Figure 16 is an example of a Feedback Survey for the

10   superior to the person performing the job.

11   Figure 17 is an example of a Feedback Survey for

12   peers, subordinates, or others relative to the person

13   performing the job.

14   Figures 18A to 18I are a hypothetical example of a

15   Feedback Report for a Feedback Survey of Figures 15-17.

16   Figures 19A to 19D are a hypothetical example of an

17   additional Feedback Report for a Feedback Survey of Figures

18   15-17.

19   Figure 20 is an example of a hypothetical Interview

20   Record for a first job applicant that could be used with

21   the invention.

22   Figure 21 is an example of a hypothetical Interview

23   Record for a second job applicant that could be used with

24   the invention.

25   Figure 22 is an example of a hypothetical Interview

26   Record for a third job applicant that could be used with

27   the invention.

28   Figure 23 is an example of a hypothetical Interview

29   Candidate Comparison used with Figures 20-22.

30

VI. DETAILED DESCRIPTION OF A PREFERRED EMBODIMENT

A. *Overview*

The preferred embodiment will be described with respect to analyzing a potential candidate for a position or job in a company. It is to be understood that the invention can be utilized for a variety of types of jobs or positions, indeed for most.

A set of observable behaviors, identified as being pertinent to most jobs is defined. This Set of Competencies is used to an analysis of the job or position in question. A questionnaire called a Position Survey (see Figure 3) is created by this analysis using the Set of Competencies. The questionnaire is taken by people (subject mater experts) who know the job at issue.

Based upon the answers to the questions, which probe a variety of Competencies, a profile of the job is produced. By having these in hand, the company can interview applicants to find out which persons have not only the skills for the job, but also the behaviors, values/attitudes, and risk level for the company.

This allows a set of interview questions to be produced to pull out information from the interviewee to allow an unbiased assessment of whether the interviewee not only meets skills requirements but also most likely has the passion for the job. Stated differently, it is a way to characterize the job, not by technical competency alone, but also by what might be exciting and stimulating to certain types of people. It allows an almost automated way (bypassing interviewer biases) of identifying the right persons for the right job. Because the questionnaire of several high performers provides the blueprint for the

1 right person for the job, when the person answers certain

2 questions the right way during the interview, the

3 interviewer basically just watches for those "right"

4 answers, and when received is compelled to hire the person,

5 even if the interviewers biases suggest otherwise.

6   Patent 5,551,880 looked at behaviors and values based

7 on what persons saw in themselves. The present invention

8 profiles the job in more of a complete sense; i.e. not only

9 behavior and values, but also skills needed and optionally,

10 the intelligence and any hard skills. Still further, the

11 point of reference of looking at these different areas is

12 from the needs of the job, not from how people rate

13 themselves about the job. It is relatively easy to match a

14 person's skills with a job, but what about motivation?

15 Does that person have the passion to do the best in the

16 job? Applicants sometimes do not know their own

17 competencies or are reluctant to disclose their weaknesses.

18 The present invention bypasses these problems with

19 traditional interviews by profiling the job for high

20 performance, and then subtly, probing the interviewee both

21 head-on (for skills) and obliquely (behavior traits,

22 values/attitudes) to see if the person has the passion to

23 highly perform in the job, even if demonstrating good

24 skills and aptitude.

25 *B.   Environment*

26   The embodiment described herein is used to either

27 evaluate potential employees for a position in a company,

28 to evaluate a current employee in a position within a

29 company, or to evaluate a job or position in a company so

30 that a more effective strategy of obtaining correct

14

1 employees or more correctly planning the future of a

2 company can be accomplished.

3   The described embodiment utilizes what is called in

4 the art a "competency model". Such competency models have

5 been widely discussed in the literature. For example, see

6 Boyatzi, Richard, "The Competency Manager: A Mode For

7 Effective Performance", John Wiley & Sons (1982); and

8 Spenser and Spenser, "Competence At Work", John Wiley &

9 Sons (1993). As discussed previously herein, existing

10 competency models do not agree with one another; and more

11 importantly, focus on deriving competencies, no matter how

12 defined, of a potential or existing employee.

13   The present invention starts with a definition of

14 competencies that is based upon behaviors and values such

15 as are defined in the co-owned, issued U.S. Patent

16 5,551,880. Thus, the competencies are founded in the soft

17 skills or more intangible aspects of a person's inherent

18 make-up, as opposed to education, work experience, or

19 technical ("hard") skills. Secondly, the methodology is

20 based on first characterizing the job or position, as

21 opposed to the person being evaluated for the job.

22   The invention can be useful in a number of ways. It

23 will be first described with regard to evaluation of

24 potential employees for a job.

25 *C.   Definitions*

26   Some definitions will assist in an understanding of

27 this description:

28   "Position" means a job in a given organization.

29   "Position Survey" means an initial questionnaire given

30 to persons familiar with a position to derive competencies

15

1 deemed required for superior performance in such a
2 position.

3 "Position Report" means a description of required
4 competencies for superior performance for a position based
5 on the Position Survey(s), and can include discussion of
6 approaches for identifying prospects for the position and
7 interviewing such prospects.

8 "Personal Competency Inventory" means a survey
9 intended for a potential employee for the purpose of
10 evaluating the potential employee's competencies related to
11 the position.

12 "Feedback Survey" means a survey intended for any or
13 all of an existing employee, an employee's superior(s),
14 that employees peer(s), that employee's subordinate(s), or
15 others having some relationship with the position.

16 "Feedback Report" means a description of the results
17 from one or more "Feedback Surveys".

18 "Interview Record" means a form useful for an
19 interviewer relative to an interviewee.

20 "Interview Candidate Comparison," means a form for an
21 interviewer to help compare a plurality of interview
22 candidates.

23 "Competency", as used herein, means a behaviorally-
24 related observable characteristic in the workplace relative
25 to a particular job from the Set of Competencies defined
26 herein.

27 "Set of Competencies", as used herein, means a
28 specific family of Competencies.

29 **D.   Apparatus**

30 Figure 1 illustrates a basic apparatus for using the
31 system 10 according to the invention. A computer 12 would

16

1 include software 14 and text files 16 stored in a database.

2 Computer 12 is capable of processing multiple Position

3 Surveys 20, Personal Competency Inventories 22, and

4 Feedback Surveys 24. Each of surveys 20, 22, and 24 can be

5 in electronic form, accessible to a potential employee at a

6 computer terminal, either near computer 12, or at a remote

7 cite. A communications network 16 (modem, Worldwide Web,

8 Intranet, etc.) can be used to communicate electronic

9 versions of these surveys.

10 Computer 12 processes the surveys according software

11 14 and can produce several types of output reports.

12 A computer can be used to more efficiently process

13 information according to the invention. Appropriate

14 hardware is within the skill of those skilled in the art.

15 Patent 5,551,880 discloses ways in which the system of

16 the present invention could be practiced, including its

17 computerization and the use of questionnaires, the coding

18 and numerical characterization of the codings, and thus the

19 ability to process the information with a computer, and

20 provide an output report.

21 Software can be developed, as within the skill of

22 those skilled in the art, by following this description.

23 As illustrated in Figure 1, a Position Report 30 is

24 possible, based on Position Survey 20. A Personal

25 Competency Inventory report 32 can be produced based on

26 Personal Competency Inventory 22. A Feedback Report 34

27 could be produced based on Feedback Survey 24.

28 These are each described in more detail later.

29 Additional reports could be created such as a

30 comparison of Position Survey 20 with Personal Competency

31 Inventory 22 (see reference numeral 36). Similarly,

32 comparison of Personal Competency Inventory 22 (see

reference numeral 36). Similarly, comparison of Position Survey 20 with Feedback Survey 24 could be produced (see reference numeral 38). Still further, other types of reports can be created as will be appreciated.

A communication network 18 can also be used to electronically transmit such reports to a desired location. For example, e-mail, modem, Worldwide Web, Intranet, etc. could be used to electronically communicate any of the reports to a remote site for display on a computer or printing of a hardcopy.

Subject matter experts could take Position Survey 20 at a personal computer and submit to an employment agency in city A. Computer 12 could be located in city B. A potential employer could be located in city C. The potential employees, taking a Personal Competency Inventory 22 in city A could have it transmitted to computer 12 in city B. Computer 12 could issue a report and send it electronically to city C for use by employer, comparing potential employee to the Position Report.

E. *Methodology*

Behind the surveys and reports created to define the Competencies related to superior performance in a job the identification, definition and selection of a family of Competencies referred to herein as the Set of Competencies. As previously discussed, much has been written about "competencies". However, no agreement exists as to what is a competency.

A standardized set, the Set of Competencies, is established. The Set of Competencies have also been derived from studies of foundational work on competency, and on foundational work relating to behaviors and

18

1 values/attitudes. This is described in U.S. Patent

2 5,551,880.

3   Presently there are all sorts of definitions of what

4 comprises a "competency" related to jobs or performance.

5 As used herein, the Set of Competencies is selected as

6 being almost universally relevant to most jobs or positions

7 in the workplace. By relevant it is meant that across the

8 universe of potential jobs and positions, these are usually

9 possibly relevant, either as being very important to a job,

10 somewhat important, or not important. It is to be

11 understood that sometimes determining what is not important

12 for good performance in a job, can be very valuable to

13 accurately defining the job.

14   As can be appreciated, the Set of Competencies does

15 not directly relate to resumes, education, technical

16 experience, or prior job experience. They are "soft

17 skills", or in other words, "demonstrable, observable

18 behaviors".

19   **(1) Set of Competencies**

20   "Set of Competencies", for purposed herein, means the

21 following Competencies with the following meanings:

22   1.   Leadership/Management: Achieving goals and

23   objectives through others.

24   2.   Employee Development/Coaching: Facilitating and

25   supporting the professional growth of others.

26   3.   Team Work: Working effectively and productively

27   with others.

28   4.   Conflict Management: Addressing and resulting

29   conflict constructively.

5. Inter-Personal Skills: Effectively communicating, building rapport and relating well to all kinds of people.

6. Problem Solving/Decision Making: Anticipating, analyzing, diagnosing and resolving problems.

7. Creativity/Innovation: Adapting traditional or devising new approaches, concepts, methods, models, designs, processes, technologies and systems.

8. Written Communication: Writing clearly, succinctly and understandably.

9. Customer Service: Anticipating, meeting or exceeding customer needs, wants and expectations.

10. Flexibility: Agility in adapting to change.

11. Goal Orientation: Energetically focusing efforts on meeting a goal, mission or objective.

12. Planning/Organizing: Utilizing logical, systematic and orderly procedures to meet objectives.

13. Diplomacy: Effectively handling difficult or sensitive issues by utilizing tact, diplomacy and an understanding of organizational culture, climate and/or politics.

14. Personal Effectiveness: Demonstrating initiative, self-confidence, resiliency and a willingness to take responsibility for personal actions.

15. Presenting: Communicating effectively to groups.

16. Negotiation: Facilitating agreements between two or more parties.

17. Persuasion: Convincing others to change the way they think, believe or behave.

1   18. Empathy: Identifying with and caring about
2   others.
3   19. Continuous Learning: Taking initiative in
4   learning and implementing new concepts,
5   technologies and/or methods.
6   20. Futuristic Thinking: Imagining, envisioning,
7   projecting and/or predicting what has not yet
8   been realized.
9   21. Decision Making: Utilizing effective processes
10   to make decisions.
11   22. Self Management: Demonstrating self-control and
12   an ability to manage time and priorities.
13   23. Management: Achieving extraordinary results
14   through effective manage of resources, systems,
15   and processes.
16   Therefore, the Set of Competencies, here twenty-three
17   of them, are specifically defined. As can be seen, each
18   have a directly behaviorally- or attitude- related aspect.
19   The Set of Competencies is used in the system of
20   surveys and reports to assist in defining the behaviorally
21   and attitude related characteristics of a wide variety of
22   jobs as follows.

23   **(2) Position Survey**

24   To provide a standardized system for first defining
25   behaviorally-related Competencies for most jobs, a
26   standardized Position Survey 20 is created. An example is
27   shown at Figure 3. It is constructed as follows.
28   An introductory page (Fig. 3B) is for administrative
29   use, for example, calling for a job code, company name,
30   title of the position, and nature of position. It also
31   calls for information about the respondent, the person

1 filling out the Position Survey, including identification

2 of Respondent and a code. Coding of the position and the

3 Respondent helps facilitate computer processing and

4 tracking.

5 Instructions, both at an introductory page (Fig. 3C)

6 and continued throughout the Position Survey, key the

7 Respondent to answer based not on how they think they

8 perform in the position, or how they would like to perform,

9 or even how they think they or others should perform; but

10 rather on what the position requires for superior

11 performance.

12 Some non-behaviorally-related factors can be elicited

13 in a first section (Figs. 3D-E) of questions which surveys

14 the type of authority, responsibility, accountability,

15 consequences, and risks associated with the position. This

16 information can be very helpful in evaluating or defining a

17 position.

18 A second section (Figs. 3F-L) is directed towards

19 behavioral requirements for the position. The questions

20 are specifically constructed to elicit from a Respondent

21 the type of observable behavior(s) that are deemed

22 important in the position, and more specifically, the

23 questions are specifically constructed to elicit the type

24 of Competencies, from the Set of Competencies, the

25 Respondent feels are required for superior performance in

26 such a position.

27 A third section (Figs. 3M-3U) is directed at

28 situational events for the position, but is specifically

29 constructed to also elicit information from the Respondent

30 about Competencies, from the Set of Competencies, required

31 for superiors performance in such a position.

22

1   The way in which the Competencies are elicited from

2   the survey is as follows. At least some of the queries of

3   Sections 2 and 3 of the Position Survey 20 of Figure 3 are

4   pre-coded. This is indicated by the handwritten

5   letter/number combination to the right of some of the

6   answers to the questions of Sections 2 and 3 of Position

7   Survey 20 (Figures 3F-U). The hand-written letter/number

8   combination(s) do not appear on Position Surveys given to

9   Respondents. The correlation of those codings are stored

10   in computer 12, so that computer 12 knows which questions

11   of Position Report 20 are related to which Competencies.

12   Therefore, the answer given by a respondent to any

13   such question implicates such Competency(ies).

14   Position Survey 20 is preferably given to one or more

15   persons that clearly understand the position at issue.

16   Preferably, these persons are selected who are themselves

17   high performers or perform at a superior level in the

18   position.

19   Figure 3 sets forth one such example of Position

20   Survey 20. This is one example only and is by no way a

21   limitation on what a Position Survey could contain or its

22   format or content.

23   As also indicated by hand-written letters relative to

24   certain questions in the Position Survey, the Position

25   Survey can use the methodology of U.S. Patent 5,551,880 to

26   simultaneously probe the Respondent for behavior and value

27   characteristics relative to the job. Hand-written letters

28   to the left and below certain questions (D, I, S, or C) are

29   the same as disclosed in U.S. Patent 5,551,880 and

30   reference can be taken to that patent for ways in which

31   such can be processed. Computer 12 knows which questions

32   from the Position Survey relate to which behaviorally-

23

1 related factors from the methodology of U.S. Patent

2 5,551,880.

3   Likewise, the handwritten letters (Identified with T,

4 U, A, S, I, Tr), the attitude being measured, to the right

5 and below certain questions in Figure 3 sections 2 and 3

6 are the same or similar to the values coding set forth in

7 U.S. Patent 5,551,880. Computer 12 would be programmed

8 accordingly.

9   Thus, Position Survey 20 is pre-designed to present a

10 Respondent with queries, some of which directly relate to

11 the Set of Competencies.

12   A Respondent goes through the Position Survey, and if

13 he/she follows the directions, will answer the queries

14 accordingly. The answers can be electronically recorded.

15 However, it could be manually filled out.

16   **(3) Processing the PS**

17   The responses to Position Survey 20 are processed as

18 follows.

19   The questions in the first section (Figs. 3D-3E) are

20 also pre-coded in computer 12 (shown by hand-written

21 letter/number combinations (to the right of certain

22 queries). Figure 4A shows the scoring key for the first

23 section. If a Respondent places a check in the blank next

24 to a query that has B1, that element is rated by computer

25 12 as being "slight", that is, slightly relevant to the

26 position. A check for a query coded B5 would be rated

27 "major", of major relevancy to the position.

28   Similarly, codings P1 to P5 and A1-A5 are handled in a

29 similar way. Queries coded to B1-B5 relate to the job

30 element accounts for results. Queries coded P1-P5 are

1   related to the job element results through people. Queries

2   coded A1-A5 are related to the job element authority.

3   As shown in Figure 4B, the answers of the Respondent

4   to section 1 of the Position Survey can be combined into a

5   rating for each of the job elements "Responsibility for

6   Results", "Responsibility for Result Thorough People",

7   "Authority", and "Organizational Risks". These ratings can

8   complement Competency and/or behavior/values ratings in

9   defining the job and assist in the selection process and

10   performance management.

11   The second and third sections of a Position Survey of

12   Figure 3 are evaluated and processed as follows. First,

13   the questions from those sections relate to each of 23

14   competencies from the Set of Competencies. This is

15   indicated by the hand-written numbers placed to the left

16   side underneath the questions of Sections 2 and 3. These

17   numbers reflect the competency or competencies being

18   evaluated by each questionnaire to the numbers in the list

19   of the Set of Competencies previously given. Again, the

20   hand-written numbers placed near the questions of sections

21   2 and 3 of the Position Survey of Figure 3 are to allow an

22   understanding of how different ones of the questions are

23   coded relative to different Competencies. The hand-written

24   numbers would not appear on the Position Survey, but would

25   be stored in computer 12 and correlated to the relevant

26   questions.

27   Each taker of Position Survey 20 will answer all the

28   questions related to each of the 23 of the Set of

29   Competencies. Figure 5A illustrates an example of the

30   distribution of the nine questions per each of the 23

31   Competencies throughout sections 2 and 3 of the Position

32   Survey.

1   The Respondent would answer each of the questions of

2   sections 2 and 3 by indicating a value between 1 and 5 (see

3   Figures 3F to 3U). Depending on those answers, each of the

4   23 of the Set of Competencies will be ranked by the survey

5   taker between a ranking of "essential" to "not necessary"

6   in Section 2, in between a ranking of "extensive" to "very

7   little" in Section 3. Points are assigned to each answer.

8   For example, if the answer to question 1 is given as

9   "essential", having a numerical value of "one" in Position

10 Survey 20, a coding numerical value of "six" is given

11 meaning that it has been given the most importance. If a

12 "two" is circled, it is given a point rating of "five" and

13 so on, so that if a "six" rating is circled, the numerical

14 value is "one".

15   The most points available for a given competency would

16 be 54 (nine questions times six possible points). The

17 least value would be 9 (nine questions times one).

18   In this manner, software 14 of computer 12 can

19 calculate which of the 23 competencies is ranked between

20 "very important" and "not important" by the survey taker in

21 the following manner.

22   If a Competency receives a score greater than 83% of

23 the maximum score of 54 (that is, a score of 45 or more) is

24 then ranked as "very important" for the job. Any

25 Competency receiving a score of between 51% and 82% of

26 possible 54 points (that is, a score of between 28 and 45)

27 is rated as "important" for the job. Competencies scoring

28 50% or under of maximum possible score (under 28 points)

29 are ranked as "not important" for the job.

30   It is also to be understood that many of the questions

31 in Position Survey 20 are intentionally derived from

32 behaviors or values/attitudes as described in detail in

26

U.S. Patent 5,551,880. Hand-written codes are set forth in Figure 3, Sections 2 and 3, indicating correspondence of certain questions to behaviors and values (see Figure 5B for summary of how behavior and values codings are distributed between sections 2 and 3 of the Position Survey of Figure 3). Letters to the left below questions and Sections 2 and 3 indicate relationship to values coding (T, U, A, S, I, Tr) according to the 5,551,880 patent. Letters to the right below questions and Sections 2 and 3 of Figure 3 relate to values coding from 5,551,880 patent. Thus, an interface between questions of Position Survey 20, and the Set of Competencies, and the behavior/values of the 5,551,880 patent are utilized. By this combination, we can determine fi the competency comes from nurture or nature.

Reference can be taken to U.S. Patent 5,551,880 regarding how questions are coded, processed, and scored relative to behaviors and values.

Thus, a set of Respondents (one or more, preferably one to ten) who have knowledge about the position (preferably are high performers) take the Position Survey and define the job by the correlation of queries in the Position Survey to the 23 Competencies of the Set of Competencies.

(5) Position Reports

Figures 6-10 illustrate Position Reports 30. Figure 6 will be called a Master Position Report because it contains basically a complete listing of all the possible text files that could be utilized for each of the 23 of the Set of Competencies. It also shows the basic format for Position Report 30.

1   The Position Report is created by computer 12 from the

2   results it processes from the Position Survey. Computer 12

3   can process a Position Survey from one Respondent or

4   integrate Position Surveys from a plurality of Respondents.

5   A description page (e.g. Figure 6B) explains the

6   Position Report.

7   Then, a hierarchy of competencies is set forth (Figure

8   6C). This is simply based on which of the 23 of the Set of

9   Competencies receives enough points to fit into the "very

10   important" class, "important" class, or "not important"

11   class. The viewer of Position Report 30 can then quickly

12   see which competencies are deemed very important,

13   important, or not important for the job.

14   Secondly, Position Report 30 can include a section

15   called "Distribution of Competency Rankings" (Figure 6E).

16   Each respondent to Position Survey 20 would have a ranking

17   in order of importance of the 23 competencies, which would

18   be shown in this distribution. Discrepancies between

19   different respondents could then be evaluated. It could

20   point out certain competencies are indeed less important

21   relative to others. It could also show a discrepancy that

22   would assist in understanding of the position or create

23   questions that could be evaluated to see if there is a

24   reason for any inconsistencies.

25   Third, the report can contain "key characteristics of

26   the position" (See Figure 6F). This is related most

27   directly to Section 1 of Position Survey 20, as previously

28   explained with respect to Figure 4B.

29   Thereafter, text files from text file 16 are available

30   to construct a "Summary of Top Competencies" (Figs. 6G to

31   6M). In Figure 6, all text files for all of the 23

32   Competencies are set forth to show the different summaries

1 for each Competency. In an actual Position Report, only a

2 few of the Competencies would normally be reported. It is

3 believed that five to seven of the highest ranked

4 competencies is all that is required to give a good

5 characterization of the position.

6 Finally, Figures 6O-6AB show the set of text files

7 that are available to create behavioral interview

8 questions. Such questions would give an interviewer the

9 type of questions needed to find out or verify whether a

10 job applicant fits the Competency model of the position

11 defined by the Position Survey.

12 Figures 7, 8, 9, and 10 are hypothetical Position

13 Reports 30 for four different jobs; namely, an automobile

14 salesperson (Figure 7), a vice president of marketing

15 (Figure 8), a computer programmer (Figure 9), and a

16 customer service representative (Figure 10). As can be

17 seen in comparing Figure 7-10, the hierarchy of

18 competencies varies for each. For example, the automobile

19 salesperson report 30 has only one "very important"

20 competency common namely customer service. However,

21 looking at the distribution of competency rankings, the two

22 respondents to Position Survey 20 actually had four

23 competencies ranked as "very important". This was

24 interpreted as meaning that only customer service was truly

25 "very important", because the competencies of "persuasion",

26 "interpersonal skills", and "goal orientation" were never

27 ranked at level 1 by either respondent. The summary of

28 competencies reprinted text files regarding the top seven

29 ranked competencies by the respondents.

30 In comparison, Figure 8 had 19 "very important"

31 competencies. However, again, only the top seven were

32 summarized.

1   Figure 9 also had one "very important" competency
2 whereas Figure 10 has three.

3   Note also that Position Report 30 can contain other
4 information. As shown in Figures 8-10, work environment
5 (behavioral related characteristics for the position) can
6 be summarized as can attitude or values related
7 characteristics.

8   In addition, specific interview questions can be
9 generated from text files 16 relative to each of the
10 competencies determined to be most important for the
11 position.

12   It can therefore be seen that the Position Survey,
13 probing respondents for behaviors and values related
14 competencies from the selected Set of Competencies, allows
15 a definition of the job to be created in a Position Report
16 30. The job thus quantified, is defined in terms of the
17 type, the inherent behaviors of the person, and the
18 attitudes or values of the person, that would provide
19 superior performance for the job. This is different from
20 evaluating a resume, or evaluating a person based just on
21 interview. It is deriving a description of the job itself
22 by listening to the behavioral and values traits that are
23 articulated in the answers to the Position Survey by
24 persons who do perform well in the job.

25   Once the most important competencies are identified
26 for the job, a strategy for finding the correct and best
27 candidates for the job can be created. Behavioral and
28 attitude characteristics are summarized and listed in the
29 Position Report. Interview questions are even created.

30   Figure 2 summarizes by flowchart for the previously
31 described process. The actual position is first identified
32 (50). Preferably, one to ten persons who clearly

1 understand the position are selected to take Position

2 Survey 20 (52).

3   If Position Survey 20 is available in hardcopy or a

4 form that can be directly displayed to the respondents

5 (54), the appropriate Position Survey 20 is selected (56),

6 printed (possibly from an Internet site) (58), copies are

7 made for the appropriate number of persons (60) and an

8 orientation session is held (62).

9   Selected persons take the questionnaire (64, 66, and

10 68) and a "Position Folder" is created (70) to hold the

11 questionnaires.

12   The responses of the respondents can be keyed into a

13 computer (72) or stored on a storage medium such as a

14 diskette. The responses in electronic form could be sent

15 via Internet (74) or mailed (76) for processing.

16   Alternatively, the respondents could be given

17 electronic versions of Position Survey 20 on diskette.

18 They could electronically complete the survey, the

19 diskettes could be collected, and either electronically or

20 physically sent for processing by computer 12.

21   **(6) Optional Debriefing**

22   Figure 11 illustrates how Position Report 30 can be

23 handled. The entity interested in the Position Report 30

24 (for example the company) would receive report 30 (90) and

25 review the report (92). If there is no disparity on

26 respondents' rankings or if any disparity is not of concern

27 (94) the end user or customer can use the report for job

28 description (120), future planning (122) or interviewing

29 (112).

30   Note, however, that it is contemplated that a customer

31 may want to meet with respondents to Position Survey 20

1 after it has been completed (96), review the definitions of

2 competencies (98) and get an agreement on the most

3 important competencies for the position (100) before using

4 Position Report 30 further.

5   As shown in Figure 11, Position Report 30 could even

6 be used to change the job description (114, 116, 118, 130).

7 Still further, it can be used to weigh competencies (106)

8 as will be described later.

9   If a disparity in rankings is of concern, a meeting

10 with respondents can take place (124) and the process

11 repeated (126) to try to get better consensus (128).

12 **F.   Alternatives, Features, Options**

13   The included preferred embodiment is given by way of

14 example only, and not by way of limitation to the

15 invention, which is solely described by the claims herein.

16 Variations obvious to one skilled in the art will be

17 including within the invention defined by the claims.

18   For example, surveys regarding other competencies or

19 hard skills could be added to Position Survey 20 and

20 Position Report 30. This could also assist an interviewer,

21 or help define a job.

22   Additionally, as stated previously, live discussion or

23 debriefing of a Position Report with respondents or other

24 parties could be conducted to fine-tune or alter a

25 description of the job. It is not required.

26   Still further, after obtaining a definition of a job

27 through use of a Position Survey, and then producing a

28 Position Report, other actions related thereto could be

29 taken, such as are discussed below.

1   **(1) Personal Competency Inventory (PCI)**

2   Figure 12 sets forth a hypothetical Personal

3   Competency Inventory. Such an inventory is focused upon

4   gaining information from a potential employee.

5   A first section (Fig. 12 B) asks the person to

6   characterize how he/she thinks others would describe

7   his/her behaviors.

8   Second 2, Figures 12C-12H, probe the person's feelings

9   or beliefs about different job related situations, while

10   section 3 (Figures 12G-12K) directly probe the person's

11   career accomplishments related to our competency model.

12   As shown in handwriting to the right of the questions

13   in sections 2 and 3 of the PCI of Figure 12, the

14   relationship of certain questions to certain competencies

15   from the Set of Competencies is set forth. The alpha-

16   numeric pair coded next to question in Personal Competency

17   Inventory 22 are pre-correlated to the twenty-three

18   Competencies from the Set of Competencies, i.e. P20 relates

19   to the twentieth listed Competency in the Set of

20   Competencies listed earlier.

21   Figure 13 illustrates the number of questions from PCI

22   sections 2 and 3 that relate to which Competencies of the

23   Set of Competencies. The PCI is utilized to try to gauge a

24   potential employee's characterization of his or her own

25   competencies (related to the Set of Competencies).

26   **(2) Personal Competency Inventory Report**

27   Figure 14 illustrates the results of an evaluation of

28   Personal Competency Inventory 22 of Figure 12. The self-

29   perceived competencies of the potential employee are ranked

30   in order based on how the person answered the questions of

31   sections 2 and 3 of the PCI.

1   From the Personal Competency Inventory Report 32, an

2   employer can compare the same with a Position Report 30.

3   The employer can select candidates for the position based

4   on the highest correlation between report 30 and report 32.

5   Report 30, if it includes interview questions, can then be

6   used advantageously by the employer to further probe

7   whether the selected candidates fit the competency

8   requirements of Position Report 30.

9   Therefore, by utilizing both reports 30 and 32, an

10   employer is given the tools to evaluate perspective

11   employees based on the Set of Competencies related to

12   behavior and values and the competencies deemed by

13   incumbents in the position that perform at a high level, to

14   be the most important such competencies.

15   **(3)   Feedback Survey**

16   It can also be advantageous for a company to track the

17   performance of an employee. System 10 allows this as

18   follows. Periodically, an employee functioning in a

19   position, as well as others such as a superior, one or more

20   subordinates, or one or more peers, can take a Feedback

21   Survey such as shown in Figures 15-17. The competencies

22   previously described are used to evaluate present employees

23   using the Feedback Survey.

24   **(4)   Feedback Report**

25   The answers to Feedback Reports 24 of Figures 15-17

26   can then be compiled in a Feedback Report 34 such as shown

27   in Figures 18 and 19. The views of others regarding the

28   employee, as well as the employee's own use, are then

29   quantified. Variations in those results can then be

30   compared. This can be very helpful in assisting the

1 employee develop the competencies most important for the

2 job. It can also be used to determine whether a certain

3 employee is not the correct fit for a job.

4 ### (6) Interview Candidate Record

5 Figures 20-22 illustrate forms that can be used by an

6 interviewer while interviewing several different candidates

7 for a position. Figures 20 and 21 are hypothetical

8 examples for two different candidates for the same job.

9 The top five competencies from the Position Report 30 are

10 set forth in the Interview Candidate Record. Weighting of

11 the importance of the competency to other competencies is

12 set forth, as well as a ranking from the personal

13 competency index taken by the employee.

14 A weighting result is achieved by multiplying the two.

15 Summation of those products gives a total score for the

16 candidate. The form also allows the interviewer to write

17 notes regarding the rating for future reference. Finally,

18 Figure 23 illustrates a comparison chart of the top five

19 competencies for each of the candidates to assist in a

20 selection process for the position.

21

22 ## VII. CLAIMS

23   1.

24 A method of developing criteria of performance for a job

25 position comprising:

26 (a) defining a set of observable behavioral

27   characteristics relevant to a performance in jobs;

35

1 (b)   Surveying a set of subject matter experts having

2   knowledge or experience relevant to the job to derive how

3   said characteristics relate to the job;

4 (c)   Defining the job based on said surveying.

5   2.

6   The method of claim 1 wherein the characteristics are

7 related to behaviors.

8   3.

9   The method of claim 1 wherein the characteristics are

10 related to attitudes.

11   4.

12   The method of claim 1 wherein the characteristics are

13 related to behaviors and attitudes.

14   5.

15   The method of claim 1 wherein the characteristics are

16 related to beliefs.

17   6.

18   The method of claim 1 wherein the set of persons

19 comprises one or more persons.

20   7.

21   The method of claim 1 wherein the step of surveying

22 comprises providing a set of questions to the subject

23 matter experts, the set of questions being pre-correlated

24 to deriving the importance of said characteristics for the

25 particular job.

26   8.

27   The method of claim 1 further comprising preparing a

28 report based on the surveying.

29   9.

30   The method of claim 8 further comprising surveying a

31 potential applicant for said job to derive how said

32 characteristics relate to said potential applicant.

36

10.

The method of claim 10 further comprising comparing the surveying of the potential applicant with the surveying of the set of subject matter experts.

11.

The method of claim 8 further comprising surveying existing employees regarding said job to derive how said existing employee's demonstration of the said characteristics relative to said jobs.

12.

The method of claim 11 wherein the existing employees include the set comparing employees in said job, employees subordinate to said job, employees superior to said job, customers interfacing with said job, peers to said job.

13.

The method of claim 12 further comprising surveying a set of existing employees regarding said job to derive how said existing employees demonstrate said characteristics relative to said job.

14.

The method of claim 12 further comprising providing feedback to a said existing employee in said job based on the surveying of existing employees.

15.

A method for identifying competencies (soft skills) required for superior performance for a given job comprising:

determining a Set of Competencies;

presenting a Position Survey to one or more persons having prior familiarity with the position;

37

1 deriving performance criteria relative to said position

2 form the Position Survey;

3 reporting said performance criteria.

4   16.

5   An system for identifying competencies (soft skills)

6 required for superior performance for a given job

7 comprising:

8   A computer having a memory;

9   Software operatively associated with said computer and

10 memory;

11   The software generating a survey for one or more

12 incumbents in a given job or position, the survey being

13 based on a set of observable behaviors for performance in

14 jobs;

15   The software compiling answers to said survey and

16 generating a report that characterizes the job or position

17 based on the observable behaviors.

18

19   17.

20   The system of claim 16 wherein the software further

21 generates a survey for an applicant for said job or

22 position, the survey being based on the set of observable

23 behaviors.

24   18.

25   The system of claim 17 wherein the software further

26 generates a report characterizing the applicant relative to

27 the observable behaviors.

28   19.

29   the system of claim 18 wherein the software further

30 generates a survey for any of the set comprising incumbents

31 in the job or position, co-workers to the incumbent,

38

1   superiors to the incumbent, or subordinates to the

2   incumbent, the survey being based on the set of observable

3   behaviors..

4   20.

5   The system of claim 19 wherein the software further

6   generates a report characterizing the incumbent relative to

7   the survey of claim 19.

VIII.   ABSTRACT OF THE DISCLOSURE

A method and apparatus for deriving key characteristics for superior performance in a job includes deriving a set of behaviorally-related competencies relevant to most jobs, surveying persons knowledgeable about the job based on the set of competencies, and defining the job in terms of the most significant competencies identified by the surveys.

40

PS
20

PCI
22

FEED
BACK
24

10

16

16

COMPUTER
12

text files

software 14

18

P.R
30

PCI
REPORT
32

FR
34

36

38
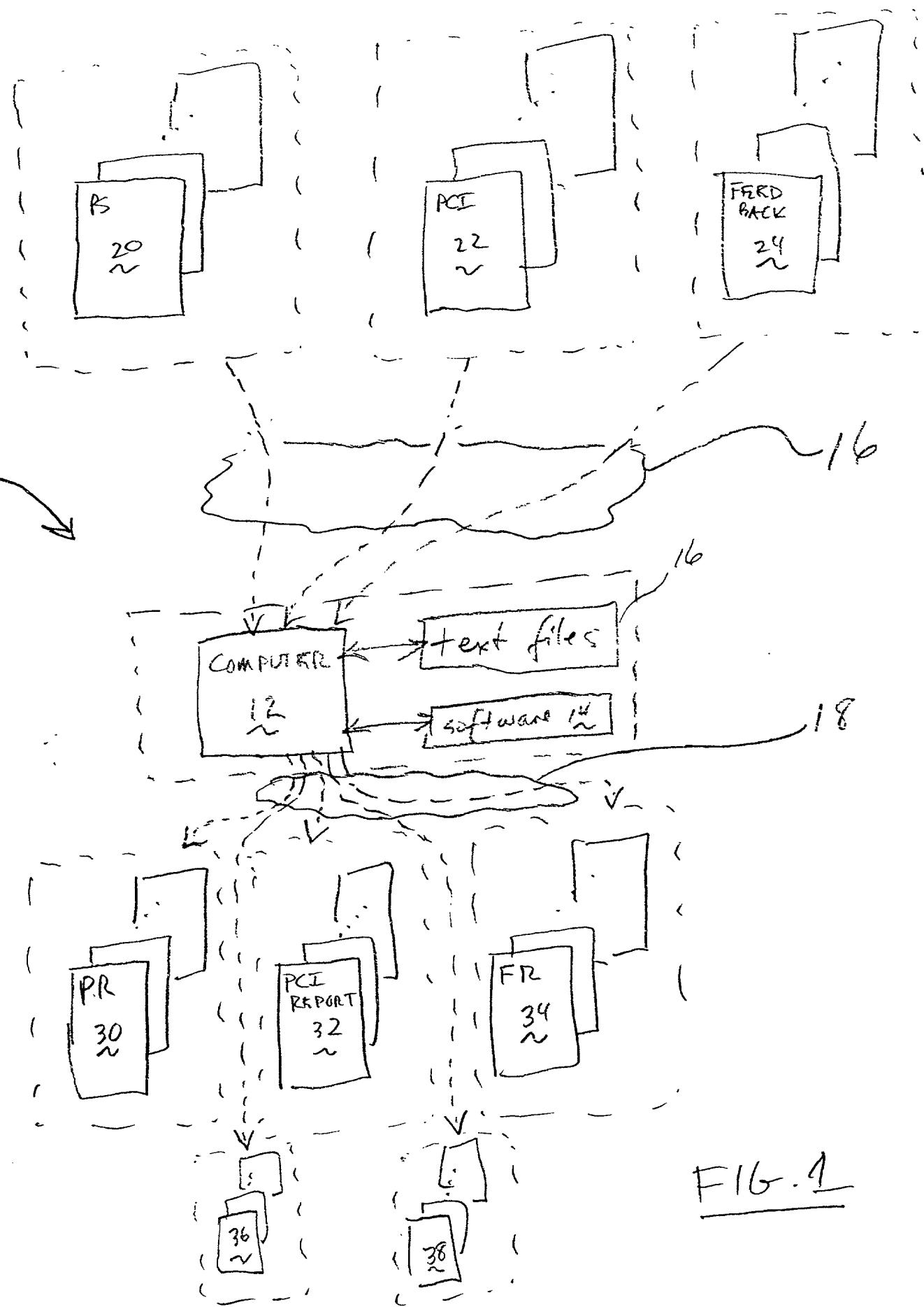
FIG. 1

Competencies DATA Collection Process

```
┌──────────────┐     ┌──────────────┐              ╱╲
│  Identify    │     │ Select I-10  │            ╱    ╲
│ Position to  │ ──> │ persons who  │ ────>  ╱  Paper  ╲  ─── 54
│    DNA       │     │   clearly    │         ╲    ?   ╱
└──────────────┘     │ understand   │          ╲    ╱
      │              │ the position │            ╲╱
      50             └──────────────┘         YES    NO
      52
```

Left branch (YES — Paper):

- Select Questionnaire EP or LQ — 56
- Print copy from Internet* — 58
- Make copies of questionnaire — 60
- Meet with respondents and explain process — 62
- Hand out paper copy with instructions — 64
- Persons Respond — 66
- Collect paper questionnaires — 68
- Create position folders — 70
- Load responses to diskette — 72

Right branch (NO):

- Set up a Position Folder — 78
- Create Diskettes — 80
- Meet & explain the process — 82
- Persons Respond — 84
- Collect Diskettes — 86

```
              ╱╲
            ╱    ╲
         ╱ Internet ╲
          ╲ Access? ╱
            ╲    ╱
              ╲╱
          YES      NO
```

- Send via Internet — 74
- Mail to your Distributor — 76

*Internet address: www.performancedna.com

FIG. 2

DNA FC2-8/25/99

Position Survey

Identifying, Prioritizing and Calibrating

Performance Criteria

FIG. 3A

Job Code:

Name of Organization:

Title and Department of Position Being Analyzed:

Check One:

☐ Newly Created Position

☐ Existing Position

☐ **Significant Changes in an Existing Position**

Respondent's relationship to the position being analyzed:

☐ Has this position now (incumbent)

☐ Has had this position or one like it in the past (past incumbent)

☐ Manages this position now

☐ Has managed this position or positions like this in the past

☐ Reports to this position

☐ Is a customer of this position

☐ Works closely with this position

Name of Respondent:	Response Code:

Title and Department of Respondent:

FIG-3B

1

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

The questionnaire you will be responding to includes and significantly expands upon the research and emphasis on competence that has been ongoing for over twenty years in both business and education. The objective of the Position Analysis is to identify the competencies required for superior performance in a position. The process analyzes the responses from 1 – 10 people including past and current incumbents, supervisors and others who understand the position. The responses, including the differences, present unique opportunities for productive dialogue and clarification of issues relevant to employee selection, development, performance management and succession planning.

Let the Job Talk!

Before completing the questionnaire, a word of caution is in order. As tempting as it may be to answer the questions in terms of how you perform in the position or how you would like to perform in it, do not allow yourself to lapse into that mindset. The quality of the data is contingent upon your ability to answer the questions from an objective perspective. The intent of the questionnaire is to focus on the position in terms of what it requires for superior performance not on how people currently perform in the position.

When thinking about this position, there are three voices that you will hear:

1. The voice of how the work is currently being performed.
2. · The voice of how you like the work to be performed.
3. The voice of the work telling you how the work should be performed.

Do your very best to listen to the third voice when completing this questionnaire. Only the third voice will speak clearly about how the work should be performed.

A Word About Hard Skills...

As organizations evolve from highly structured hierarchies to flatter more fluid forms, soft skill competencies are becoming at least as important as hard skills. This questionnaire, therefore, has intentionally ignored the analysis of the hard or technical skills required for superior performance. We find that many organizations have an understanding of the technical skills and knowledge necessary to perform in positions specific to functional areas within their industry. The purpose of this questionnaire is to clarify and prioritize the more obscure yet essential soft skill competencies. **The technical or hard skills will need to be analyzed by organizations utilizing a separate process.**

FIG. 3 C

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

Section one defines various elements of the position. Read each of the statements and check all of the elements that pertain to the position being analyzed.

EXAMPLE

1. This position has the authority to: (Check all that apply)

___	hire and/or fire employees
x	establish performance objectives for others
___	conduct and sign performance evaluations
___	place employees in a disciplinary process
___	grant salary adjustments and/or increases
x	change processes, procedures or schedules with approval
x	change processes, procedures or schedules without approval
___	change the objectives of the position

As you can see from the example, this position has the authority to establish performance objectives for others and change processes, procedures or schedules with or without approval.

---

1. This position has the authority to: (Check all that apply)

___	hire and/or fire employees *B3, A-3*
___	establish performance objectives for others *B1, P3, A 3*
___	conduct and sign performance evaluations *P3, A 3*
___	place employees in a disciplinary process *P3, A-3*
___	grant salary adjustments and/or increases *B3, P4, A4*
___	change processes, procedures or schedules with approval *P2, A 2*
___	change processes, procedures or schedules without approval *B4, P4, A4*
___	change the objectives of the position *P4, A4*

2. This position's financial responsibility, authority and control is in: (Check all that apply)

___	managing personal business expenses
___	participating in the budgeting process
___	preparing the final budget *B3*
___	administering funds (signing purchase orders or checks) *B4, A4*
___	approving budgets of others *B3, P1, A4*
___	meeting profit goals and controlling losses *B4, A-4*
___	formulating policies *B4, P1, A4*

FIG. 3D

3

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

3. Decision-making authority in this position is demonstrated by:
(Check all that apply)

_____ providing input or participating in the collection of data
_____ voting or influencing team decisions
_____ making decisions about processes or procedures   *A-2*
_____ making policy decisions   *A-4*

4. This position is held accountable for the following performance objectives:
(Check all that apply)

_____ personal performance objectives only
_____ directing or facilitating the work efforts of a team or shift   *P 3, A 3*
_____ meeting a team, shift or business unit objectives   *B3, P4, A 4*
_____ multiple teams, shifts or business units' objectives   *B 4, P4, A 5*
_____ the business objectives of the entire organization   *B 5, P5, A 5*

5. The consequences for the organization when mistakes are made in this position are: (Check all that apply)

_____ lost business opportunities
_____ lost time
_____ lost equipment or resources
_____ lost productivity
_____ lost customers
_____ lost revenue or profits
_____ lost reputation, image or credibility

6. Employees in this position have access to: (Check all that apply)

_____ cash/checks
_____ valuable inventory or merchandise
_____ vital systems and/or equipment
_____ dangerous chemicals
_____ controlled substances (drugs)
_____ customer lists
_____ financial data
_____ trade secrets
_____ negotiable securities
_____ bank accounts

PJG. 3E

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

Section two focuses on various behavioral requirements of the position. Read each position requirement and rank it's importance to the position by circling a number from 1-6.
1=essential and 6=not necessary

VI   *I* RANKING SCALE   *NI*

Essential					Not Necessary
1	**2**	**3**	**4**	**5**	**6**
It is essential to demonstrate this behavior for superior performance.	It is important to demonstrate this behavior for superior performance.	It is sometimes important to demonstrate this behavior for superior performance.	It can be helpful but not necessary to demonstrate this behavior for superior performance.	It is not necessary to demonstrate this behavior for superior performance.	Demonstrating this behavior can undermine superior performance.

EXAMPLE
1. Anticipating events, taking initiative and acting rather than waiting for direction:

Essential				Not Necessary	
1	2	3	4	⑤	6

As you can see from the example, anticipating events, taking initiative and acting rather than waiting for direction is ranked as a 5, or relatively insignificant in the position.

1. Anticipating events, taking initiative and acting rather than waiting for direction:

1⁴23

Essential				Not Necessary	
1	2	3	4	5	6

DI

2. Reacting to events and waiting for direction before acting:

Essential				Not Necessary	
1	2	3	4	5	6

SC

3. Taking personal responsibility for actions and/or results:

11,14,23

Essential				Not Necessary	
1	2	3	4	5	6

DSC   *I*   *FIG. 3F*

5

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

4. Being accountable for producing results:

11, 14, 23

Essential				Not Necessary	
1	2	3	4	5	6

PI   UI

5. Treating all people fairly and with respect:

5, 13, 19

Essential				Not Necessary	
1	2	3	4	5	6

SC   SoC

6. Being sensitive to different races, nationalities, cultures, sexes, disabilities:

5, 13, 19

Essential				Not Necessary	
1	2	3	4	5	6

S   SoC

7. Establishing and maintaining key alliances or partnerships within the organization:

3, 8, 13, 15, 17

Essential				Not Necessary	
1	2	3	4	5	6

DI

8. Establishing and maintaining key alliances or partnerships outside the organization:

8, 13, 15, 17

Essential				Not Necessary	
1	2	3	4	5	6

DI

9. Continuously learning for career advancement:

20

Essential				Not Necessary	
1	2	3	4	5	6

T

10. Continuously learning to keep current or ahead of technology:

2 0

Essential				Not Necessary	
1	2	3	4	5	6

TUI   FIG. 36

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

11. Inspiring others with a compelling vision, purpose or goal:

1, 8, 15, 18, 21

Essential				Not Necessary	
1	2	3	4	5	6

U I Tr

12. Coaching and counseling:

2, 4, 19

IS

Essential				Not Necessary	
1	2	3	4	5	6

SoC

13. Recognizing and appreciating the contributions of others:

2, 5

I

Essential				Not Necessary	
1	2	3	4	5	6

Soc

14. Encouraging, supporting and mentoring the development of others:

2

IS

Essential				Not Necessary	
1	2	3	4	5	6

Soc

15. Understanding and adapting to the needs of different people:

3, 4, 5, 19

Essential				Not Necessary	
1	2	3	4	5	6

Soc

16. Commanding and exercising authority in decisions affecting people:

1, 22

D I

Essential				Not Necessary	
1	2	3	4	5	6

V I

17. Commanding and exercising authority in decisions on how to spend money and allocate resources:

16, 17, 22

Essential				Not Necessary	
1	2	3	4	5	6

V I

FIG 3H

7

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

18. Commanding and exercising authority in strategic decisions:

1, 12, 15, 16, 17, 21, 22

Essential				Not Necessary	
1	2	3	4	5	6

VI

19. Commanding and exercising authority in making policy:

1, 15, 16, 17, 21, 22

Essential				Not Necessary	
1	2	3	4	5	6

VI

20. Referring important decisions to someone in authority:

S

Essential				Not Necessary	
1	2	3	4	5	6

SoL

21. Effectively handling sensitive issues within the organization:

·13

Essential				Not Necessary	
1	2	3	4	5	6

22. Effectively utilizing people:

3, 10, 12

Essential				Not Necessary	
1	2	3	4	5	6

V

23. Building effective teams:

2, 3, 4

Essential				Not Necessary	
1	2	3	4	5	6

24. Holding people accountable:

1, 2, 14, 16

Essential				Not Necessary	
1	2	3	4	5	6

U I T r

FIG. 3I

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

25. Delegating responsibility and empowering others:

2

Essential				Not Necessary	
1	2	3	4	5	6

26. Striving for continuous improvement:

20, 23

Essential				Not Necessary	
1	2	3	4	5	6

T A

27. Demonstrating genuine concern, caring and compassion for others:

5, 19

Essential				Not Necessary	
1	2	3	4	5	6

IS

Soc

28. Meeting deadlines:

. 11, 12, 23

Essential				Not Necessary	
1	2	3	4	5	6

29. Effectively handling sensitive issues outside the organization:

13

Essential				Not Necessary	
1	2	3	4	5	6

30. Effectively utilizing funds:

6, 16, 22

Essential				Not Necessary	
1	2	3	4	5	6

U

31. Effectively utilizing material, equipment, etc:

. 6, 16

Essential				Not Necessary	
1	2	3	4	5	6

U

FIG. 3J

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

32. Seeing unique or unusual perspectives:

7, 10, 21

Essential				Not Necessary	
1	2	3	4	5	6

U A I

33. Identifying patterns, themes or connections not noticed by others:

7, 10, 21

Essential				Not Necessary	
1	2	3	4	5	6

U A

34. Trying new methods, techniques and processes:

7, 10

D I

Essential				Not Necessary	
1	2	3	4	5	6

U A

35. Increasing quantity, output or yield:

3, 6, 7, 11, 22

D

Essential				Not Necessary	
1	2	3	4	5	6

U

36. Working quickly or reducing the time needed to perform work:

3, 6, 7, 11, 22

D

Essential				Not Necessary	
1	2	3	4	5	6

U

37. Improving quality or processes:

3, 6, 7, 11

C

Essential				Not Necessary	
1	2	3	4	5	6

38. Reducing or eliminating costs:

6, 7, 11, 17, 22

Essential				Not Necessary	
1	2	3	4	5	6

U

FIG. 3K

10

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

39. Serving customers face to face:

9, 18

I S

Essential				Not Necessary	
1	2	3	4	5	6

Soc

40. Making presentations to customers:

9, 15, 18

I

Essential				Not Necessary	
1	2	3	4	5	6

41. Serving customers on the telephone:

9

S

Essential				Not Necessary	
1	2	3	4	5	6

Soc

42. Communicating with customers in writing:

8, 9

Essential				Not Necessary	
1	2	3	4	5	6

43. Communicating with customers on the internet:

8, 9

Essential				Not Necessary	
1	2	3	4	5	6

FIG. 3L

11

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

Section three focuses on the measurement of some typical aspects of the position. The statements refer to normal circumstances, not just an occasional situation that may arise in the position. Circle a number from 1-6. 1=extensive and 6=very little.

RANKING SCALE

Extensive					Very Little
1	2	3	4	5	6

EXAMPLE
The typical:
1. Speed at which change occurs in areas such as tasks, priorities, job responsibilities, processes or procedures:

Extensive				Very Little	
1	②	3	4	5	6

As you can see from the example, the typical speed at which change is occurring in areas such as tasks, priorities, job responsibilities, processes or procedures is ranked a 2, or fairly extensive.

The typical:

1. **Speed at which change occurs in areas such as tasks, priorities, job responsibilities, processes or procedures:**

10, 20

DI

Extensive				Very Little	
1	2	3	4	5	6

2. Level of activity on a given day is:

DI

Extensive				Very Little	
1	2	3	4	5	6

3. Opportunity for training or learning is:

20

Extensive				Very Little	
1	2	3	4	5	6

T

4. Amount of change occurring in areas such as tasks, priorities, job responsibilities, processes or procedures is:

10, 20

DI

Extensive				Very Little	
1	2	3	4	5	6

FIG. 3M

12

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

The typical:

5. Extent to which tasks vary is:

/0

D I

Extensive				Very Little	
1	2	3	4	5	6

6. Amount of freedom to act without checking with someone in authority is:

23

D I

Extensive				Very Little	
1	2	3	4	5	6

7. Amount of freedom to move around and set personal schedules is:

23

D I

Extensive				Very Little	
1	2	3	4	5	6

8. Necessity for repeating tasks is:

SC

Extensive				Very Little	
1	2	3	4	5	6

9. Necessity for influencing others is:

15

D I

Extensive				Very Little	
1	2	3	4	5	6

10. Necessity for supervising others is:

4

Extensive				Very Little	
1	2	3	4	5	6

11. Necessity for dealing with customers is:

9,18

IS

Extensive				Very Little	
1	2	3	4	5	6

SoC

FIG. 3N

13

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

The typical:

12. Necessity for resolving interpersonal conflict is:

4, 5, 17, 18, 19

D

Extensive				Very Little	
1	2	3	4	5	6

13. Necessity for critical thinking is:

6

DC

Extensive				Very Little	
1	2	3	4	5	6

14. Necessity for employee discipline is:

4

DC

Extensive				Very Little	
1	2	3	4	5	6

T

15. Necessity for resolving fairly simple problems is:

6

Extensive				Very Little	
1	2	3	4	5	6

16. Necessity for resolving complex problems is:

6

DC

Extensive				Very Little	
1	2	3	4	5	6

T

17. Necessity for decision making is:

22

Extensive				Very Little	
1	2	3	4	5	6

18. Amount of authority is:

1, 14, 16

D

Extensive				Very Little	
1	2	3	4	5	6

TUI

FIG. 30

14

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

The typical:

19. Necessity for dealing with competition in the marketplace is:

7, 11, 14, 18, 20, 21

Extensive				Very Little	
1	2	3	4	5	6

TU I

20. Necessity for developing a plan of action to meet goals (strategic planning) is:

1, 8, 10, 11, 12, 16, 21

DC

Extensive				Very Little	
1	2	3	4	5	6

U

21. Necessity for developing detailed long-range plans is:

12, 21

Extensive				Very Little	
1	2	3	4	5	6

22. Necessity for detailed organizing is:

12

C

Extensive				Very Little	
1	2	3	4	5	6

23. Necessity for developing detailed short-range plans is:

12

Extensive				Very Little	
1	2	3	4	5	6

U

24. Necessity for comprehensive time-management is:

12, 23

Extensive				Very Little	
1	2	3	4	5	6

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

The typical:

25. Necessity for maintaining composure is:

23

Extensive				Very Little	
1	2	3	4	5	6

SC

26. Necessity for optimism is:

DI

Extensive				Very Little	
1	2	3	4	5	6

27. Necessity for using caution is:

C

Extensive				Very Little	
1	2	3	4	5	6

28. Level of decision-making risk is:

1,14

Extensive				Very Little	
1	2	3	4	5	6

29. Necessity for creativity or innovation is:

7,10,21

Extensive				Very Little	
1	2	3	4	5	6

UA

30. Extent to which difficult decisions need to be made is:

14

Extensive				Very Little	
1	2	3	4	5	6

FIG. 30

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

The typical:

31. Extent to which unpopular decisions need to be made is:

4, 13, 14

DC

Extensive				Very Little	
1	2	3	4	5	6

32. Amount of uncertainty about goals, direction, job tasks or expectations is:

Extensive				Very Little	
1	2	3	4	5	6

33. Necessity for continued learning is:

20

Extensive				Very Little	
1	2	3	4	5	6

T

34. Necessity for working closely with others is:

3

IS

Extensive				Very Little	
1	2	3	4	5	6

SOC

35. Necessity for effective listening is:

5

S

Extensive				Very Little	
1	2	3	4	5	6

36. Necessity for counseling others is:

2, 4, 19

IS

Extensive				Very Little	
1	2	3	4	5	6

SOC

FIG 3A

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

The typical:

37. Necessity to delegate work to others is:

Extensive				Very Little	
1	2	3	4	5	6

38. Necessity for measuring the performance of others is:

1,2,/6

Extensive				Very Little	
1	2	3	4	5	6

39. Necessity for coaching or mentoring others is:

2,3,4,19

IS

Extensive				Very Little	
1	2	3	4	5	6

So c

40. Amount of paperwork is:

C

Extensive				Very Little	
1	2	3	4	5	6

41. Necessity for adhering to standard procedures is:

C

Extensive				Very Little	
1	2	3	4	5	6

Tr

42. Necessity for following policies is:

Sc

Extensive				Very Little	
1	2	3	4	5	6

Tr

FIG. 35

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

The typical:

43. Necessity for persistence is:

S C

Extensive				Very Little	
1	2	3	4	5	6

44. Impact on product quality is:

12

C

Extensive				Very Little	
1	2	3	4	5	6

45. Necessity for considering the needs of others is:

5,19

I S

Extensive				Very Little	
1	2	3	4	5	6

Soc

46. Necessity for negotiating is:

17,19

D I

Extensive				Very Little	
1	2	3	4	5	6

U

47. Impact on quality service is:

9

Extensive				Very Little	
1	2	3	4	5	6

So C

48. Impact on the organization's image is:

9

I C

Extensive				Very Little	
1	2	3	4	5	6

A

FIG 3T

REMEMBER, FOCUS ON THE POSITION, NOT PEOPLE!

The typical:

49. Amount of contact with external customers, vendors and community is:

9,13,15,17,18

DIS

Extensive				Very Little	
1	2	3	4	5	6

50. Amount of face-to-face communication/conversation is:

5

DI

Extensive				Very Little	
1	2	3	4	5	6

51. Amount of telephone communication is:

Extensive				Very Little	
1	2	3	4	5	6

52. Amount of electronic (computer) communication is:

8

Extensive				Very Little	
1	2	3	4	5	6

53. Amount of written communication is:

8

Extensive				Very Little	
1	2	3	4	5	6

54. Amount of presentations and public speaking is:

13,15,18

DI

Extensive				Very Little	
1	2	3	4	5	6

55. Necessity for writing proposals, reports, newsletters or other business documents is:

8,20

Extensive				Very Little	
1	2	3	4	5	6

FIG 34

FIGURE 4A

Scoring Key for Section 1 of POSITION SURVEY

12 B's
13 P's
18 A's

If no _____ by _____ A

No B	=	No
B1	=	Slight
B2	=	Moderate
B3	=	Moderate
B4	=	Significant
B5	=	Major

No P	=	_____
P1	=	_____
P2	=	_____
P3	=	_____
P4	=	_____
P5	=	_____

No A	=	_____
A1	=	_____
A2	=	_____
A3	=	_____
A4	=	_____
A5	=	_____

FIGURE 4B

Classification of Position Issues from Section 1 of POSITION SURVEY

Responsibility for Results

No	Slight	Moderate	Significant	Major

Responsibility for Results Through People

No	Slight	Moderate	Significant	Major

Authority

No	Slight	Moderate	Significant	Major

Organizational Risks

No	Slight	Moderate	Significant	Major

Competency	§ II Q's	+	§ III Q's	=	Total Q's
1	5	+	4		9
2	6	+	3		9
3	7	+	2		9
4	3	+	6		9
5	5	+	4		9
6	6	+	3		9
7	7	+	2		9
8	5	+	4		9
9	5	+	4		9
10	2	+	7		9
11	7	+	2		9
12	3	+	6		9
13	6	+	3		9
14	4	+	5		9
15	6	+	3		9
16	6	+	3		9
17	6	+	3		9
18	3	+	6		9
19	5	+	4		9
20	3	+	6		9
21	5	+	4		9
22	8	+	1		9
23	5	+	4		9

Scoring Key

83% to 100% = VI
51% to 82% = I
9% to 50%   = NI

FIG. 5A

Behavior

	§II Q's	+	§III Q's	=	Total Q's
D	9	+	19	=	28
I	12	+	18	=	30
S	10	+	11	=	21
C	4	+	15	=	19

Values

	§II Q's	+	§III Q's	=	Total Q's
+	3	+	5	=	8
u	17	+	6	=	23
a	4	+	2	=	6
Soc	10	+	6	=	16
I	10	+	3	=	13
tr	2	+	2	=	4

FIG. 5B

Performance DNA International, Ltd.
Position Report

A complete evaluation of the competencies necessary
to achieve superior performance in the position.

Output of all DNA Text

12/20/1999

Prepared by Performance DNA International, Ltd.

FIG. 6A

INTRODUCTION

The purpose of this report is to provide insight into the most important performance criteria for the position. Managers or leaders are encouraged to discuss the results of the report with new hires and incumbents to enhance their understanding of performance expectations. The information in this report is particularly valuable to organizations in the following Human Resource activities:

- BUILDING COMPETENCY PROFILES OR MODELS
- DESIGNING PERFORMANCE EVALUATION PROCESSES
- ASSESSING TRAINING AND DEVELOPMENT NEEDS
- DEVELOPING COMPENSATION AND REWARD SYSTEMS
- DESIGNING SUCCESSION PLANNING PROCESSES
- DEVELOPING SELECTION SYSTEMS

Information in the report is based on an objective analysis of data collected from specially selected individuals who understand the position well. Report results reflect a summary of their responses to the Position Survey questionnaire. The report results are generated by a computer analysis of all responses. Hundreds of calculations are performed to determine the key performance criteria of the position. Where there were multiple respondent data, an average composite of all responses is provided.

Each section of the report is designed to address important aspects of the position. Clarity, understanding and consensus on what competencies are required for superior performance is essential to optimize selection, training and development, performance evaluation, rewards, recognition and succession planning programs. Read each section of the report carefully to gain insight into the most important position requirements.

Research indicates that a specific group of competencies are required to produce superior performance in most positions. This report provides detailed descriptions on seven (7) of the most important competencies required for superior performance in the position. Significant differences in respondent rankings of the competencies indicate a need for clarification. It is recommended that the results of the report be discussed with incumbents and management to obtain consensus before integrating the information into Human Resource processes.

The last section of the report provides samples of behavioral interview questions designed to assist hiring authorities to plan structured selection interviews. The questions provide a framework for comparing candidate competency strengths with the competency requirements of the position. Select the questions that seem most appropriate to the position being analyzed.

FIG. 6B

HIERARCHY OF COMPETENCIES

The competencies required for superior performance have been prioritized based on the analysis of responses to the questionnaire. Where there were multiple respondents to the questionnaire, the list represents a composite average of all responses. The hierarchical order of the competencies represents their relative importance to each other in producing superior performance in the position.

	HIERARCHY OF COMPETENCIES
1	Leadership
2	Employee Development/Coaching
3	Teamwork
4	Conflict Management
5	Interpersonal Skills
6	Problem Solving
7	Creativity/Innovation
8	Written Communication
9	Customer Service
10	Flexibility
11	Goal Orientation
12	Planning/Organizing
13	Diplomacy
14	Personal Effectiveness
15	Presenting
16	Management
17	Negotiation
18	Persuasion
19	Empathy
20	Continuous Learning
21	Futuristic Thinking
22	Decision Making
23	Self Management

■ Very Important   ▨ Important   ☐ Not Important

Fig. 6 C

SUGGESTIONS FOR IMPLEMENTING REPORT RESULTS

Before implementing the information in this report, it is recommended that the respondents meet to verify the results of the report. The hierarchy of competencies should not be accepted at face value as a competency model for the position. The hierarchical order of the competencies represents the relative importance of competencies in relationship to each other. Although competencies are shown in a hierarchy, several competencies may be relatively equal in importance.

Position reports on hundreds of positions confirms that it is more practical to eliminate the competencies that are not important for superior performance than to debate the precise order of the most important competencies. Based on the analysis of the responses to the questionnaire, the competencies noted as not important should not be emphasized in selection, training and development, performance evaluation, rewards, recognition or succession planning processes aimed at this position.

The data on hundreds of positions also confirms that differences in respondent rankings of competencies are common. The information in this report is designed to highlight both the differences as well as the similarities between respondent rankings of competencies.

Differences in competency rankings can be attributed to a number of factors. Some respondents may be high performing incumbents with a thorough understanding of the position, while others may be new to the position.

In some cases, respondents will have a different perspective of the importance of competencies by virtue of their unique relationship to the position. For example, a customer of the position may have a tendency to weight the customer service competency over others.

In cases where a position is being impacted by significant change, the difference in perspectives provides a valuable framework for respondents to create the new behavioral blueprint for success together. Working through the results of the report together, respondents can achieve a new level of understanding about how the demonstration of specific behaviors contributes to the fulfillment of the most important accountabilities and responsibilities in the position.

Fig. 6D

Distribution of Competency Rankings

The distribution of competency rankings illustrates individual differences in responses from multiple respondents to the questionnaire. The hierarchical listing of competencies on the left side of the chart represents the composite ranking of all respondents on each competency. The right side of the chart lists the competency rankings of each individual respondent.

	HIERARCHY OF COMPETENCIES	R1
1	Leadership	1
2	Employee Development/Coaching	2
3	Teamwork	3
4	Conflict Management	4
5	Interpersonal Skills	5
6	Problem Solving	6
7	Creativity/Innovation	7
8	Written Communication	8
9	Customer Service	9
10	Flexibility	10
11	Goal Orientation	11
12	Planning/Organizing	12
13	Diplomacy	13
14	Personal Effectiveness	14
15	Presenting	15
16	Management	16
17	Negotiation	17
18	Persuasion	18
19	Empathy	19
20	Continuous Learning	20
21	Futuristic Thinking	21
22	Decision Making	22
23	Self Management	23

■ Very Important   ▨ Important   ☐ Not Important

Note: Based on the analysis of the responses to the questionnaire, the order of the competencies indicates three levels of importance shown by the average of the group as well as individual rankings. Competencies that are not important should not be emphasized in selection, training and development, performance evaluation, rewards, recognition or succession planning processes aimed at this position. Significant differences between respondents' rankings may indicate a need for clarification.

Fig. 6E

Key Characteristics of The Position

The position has been analyzed relative to four key characteristics. These characteristics are accountability for results, results through people, authority and risk. Based on the responses to the questionnaire, these characteristics have been measured on a sliding scale and are illustrated by a bar graph. The scale range includes none, slight, moderate, significant and major.

Accountability For Results: This characteristic addresses the accountability for producing measurable results in the position. This includes accountability for meeting financial, operations and/or system objectives.

None	Slight	Moderate	Significant	Major

Results through People: This characteristic addresses the emphasis on producing results through the efforts and cooperation of people. This characteristic is not limited to management or leadership positions. Many non-management or leadership positions in team-based organizational structures depend heavily upon the efforts and cooperation of people to produce results.

None	Slight	Moderate	Significant	Major

Authority: This characteristic addresses the level of authority that exists in the position. Evidence of authority can be found in the ability to make decisions or changes without prior approval from upper management. This characteristic is not limited to management or leadership positions. In their efforts to become more responsive, many large organizations are finding it necessary to drive decision-making downward. In these organizations, many positions can be characterized by a moderate to significant amount of authority but are not considered management or leadership.

None	Slight	Moderate	Significant	Major

Risks: This characteristic addresses the inherent level of business risk or liability to the organization that exists in the position. Positions with indications of moderate, significant or major levels of inherent risk or liability to the organization may warrant the use of drug, alcohol and/or other appropriate assessments in their selection and management systems.

None	Slight	Moderate	Significant	Major

FIG. 6F

SUMMARY OF TOP COMPETENCIES

This report focuses on soft skill competencies because they are usually more difficult to identify or assess than technical competencies or experience. Observing the behaviors people use to produce superior performance can provide insight into the demonstration of competencies. Seven (7) of the most important competencies required to produce superior performance are described below in terms of observable behaviors. The behaviors listed below each competency provide examples of some of the ways the competency is demonstrated. Read each behavior and check the ones that must be demonstrated to produce superior performance in the position. More importance is typically placed on those behaviors that must be demonstrated consistently on a daily, weekly or monthly basis.

1. LEADERSHIP: Achieving extraordinary business results through people.

   * Inspires others with compelling visions.
   * Takes risks for the sake of principles, values or mission.
   * Builds trust and demonstrates integrity with a noticeable congruence between words and actions (walks their talk).
   * Demonstrates optimism and positive expectations of others.
   * Delegates appropriate responsibilities and authority.
   * Involves people in decisions that affect them.
   * Addresses performance issues promptly, fairly and consistently.
   * Adapts methods and approaches to the needs and motivations of others.
   * Makes decisions to avoid or mitigate the negative consequences for people.
   * Demonstrates loyalty to constituents.

2. EMPLOYEE DEVELOPMENT/COACHING: Facilitating and supporting the professional growth of others.

   * Expresses confidence in others' ability to perform.
   * Identifies developmental needs.
   * Encourages initiative and improvement.
   * Provides opportunities for training.
   * Gives new, difficult and/or challenging work assignments.
   * Acknowledges and praises improvements.
   * Trains, coaches and mentors others to develop.
   * Views mistakes as opportunities for learning.
   * Promotes learning and growth.

FIG. 66

SUMMARY OF TOP COMPETENCIES

3. TEAMWORK: Working effectively and productively with others.

    *   Respects team members and their individual perspectives.
    *   Makes team mission and objectives a priority.
    *   Works toward consensus when team decisions are required.
    *   Meets agreed-upon deadlines on team assignments and commitments.
    *   Shares responsibility with team members for successes and failures.
    *   Keeps team members informed regarding projects.
    *   Supports team decisions.
    *   Recognizes and appreciates the contributions of team members.
    *   Behaves in a manner consistent with team values and mission.
    *   Provides constructive feedback to team and its members.
    *   Responds positively to feedback from team members.
    *   Raises and/or confronts issues limiting team effectiveness.

4. CONFLICT MANAGEMENT: Addressing and resolving conflict constructively.

    *   Readily identifies and addresses issues, concerns or conflicts.
    *   Recognizes opportunities for positive outcomes in conflict situations.
    *   Reads situations quickly and accurately to pinpoint critical issues.
    *   Listens to gain understanding of an issue from different perspectives.
    *   Diffuses tension and effectively handles emotional situations.
    *   Assists people in adversarial positions to identify common interests.
    *   Strives to settle differences equitably.
    *   Settles differences without damaging relationships.

5. INTERPERSONAL SKILLS: Effectively communicating, building rapport and relating well to all kinds of people.

    *   Strives for self-awareness.
    *   Demonstrates sincere interest in others.
    *   Treats all people with respect, courtesy and consideration.
    *   Respects differences in the attitudes and perspectives of others.
    *   Listens, observes and strives to gain understanding of others.
    *   Communicates effectively.
    *   Sensitive to diversity issues.
    *   Develops and maintains relationships with many different kinds of people regardless of cultural differences.

FIG 6 H

SUMMARY OF TOP COMPETENCIES

6. PROBLEM SOLVING: Anticipating, analyzing, diagnosing and resolving problems.

   * Anticipates, identifies and resolves problems or obstacles.
   * Utilizes logic and systematic processes to analyze and solve problems.
   * Defines the causes, effects, impact and scope of problems.
   * Identifies the multiple components of problems and their relationships.
   * Prioritizes steps to solution.
   * Develops criteria for optimum solutions.
   * Evaluates the potential impact of possible solutions and selects the best one.

7. CREATIVITY/INNOVATION: Adapting traditional or devising new approaches, concepts, methods, models, designs, processes, technologies and/or systems.

   * Notices unique patterns, variables, processes, systems or relationships.
   * Expresses non-traditional perspectives and/or novel approaches.
   * Synthesizes and/or simplifies data, ideas, models, processes or systems.
   * Challenges established theories, methods and/or protocols.
   * Encourages and promotes creativity and innovation.
   * Modifies existing concepts, methods, models, designs, processes, technologies and systems.
   * Develops and tests new theories to explain or resolve complex issues.
   * Applies unorthodox theories and/or methods.
   * Imagines new or revolutionary concepts, methods, models, designs, processes, technology, systems, products, services or industries.

8. WRITTEN COMMUNICATION: Writing clearly, succinctly and understandably.

   * Writes in ways that make abstract concepts, issues and information clear and understandable.
   * Utilizes a wide range of appropriate writing techniques and methods.
   * Succinctly presents objective or subjective viewpoints and arguments.
   * Achieves communication objectives by organizing information in logical sequences that lead readers to come to natural conclusions.
   * Determines what information needs to be communicated.
   * Deftly utilizes written language to convey key messages and meaning.
   * Effectively involves readers in the material.
   * Adjusts writing style to specific audiences as needed.

FIG. 6I

SUMMARY OF TOP COMPETENCIES

9. CUSTOMER SERVICE: Anticipating, meeting and/or exceeding customer needs, wants and expectations.

   * Strives to anticipate, identify and understand customers' wants, needs and concerns.
   * Responds to customers with a sense of urgency.
   * Follows through on customer requests.
   * Is patient and courteous with customers.
   * Resolves issues and complaints to the satisfaction of customers.
   * Expends extraordinary effort to satisfy customers.
   * Develops relationships with customers.
   * Partners with customers to assist them in achieving their objectives.
   * Acts as an advocate for customers' needs.
   * Takes professional risks for the sake of customers' needs.

10. FLEXIBILITY: Agility in adapting to change.

   * Responds promptly to shifts in direction, priorities and schedules.
   * Demonstrates agility in accepting new ideas, approaches and/or methods.
   * Effective in juggling multiple priorities and tasks.
   * Modifies methods or strategies to fit changing circumstances.
   * Adapts personal style to work with different people.
   * Maintains productivity during transitions, even in the midst of chaos.
   * Embraces and/or champions change.

11. GOAL ORIENTATION: Energetically focusing efforts on meeting a goal, mission or objective.

   * Acts independently to achieve objectives without supervision.
   * Expends the necessary time and effort to achieve goals.
   * Recognizes and acts on opportunities to advance progress towards meeting goals.
   * Establishes and works toward ambitious and challenging goals.
   * Develops and implements strategies to meet objectives.
   * Measures effectiveness and performance to ensure results are attained.
   * Acts with a sense of urgency to achieve goals.
   * Demonstrates persistence in overcoming obstacles to meet objectives.
   * Takes calculated risks to achieve results.

FIG. 6J

SUMMARY OF TOP COMPETENCIES

12. PLANNING/ORGANIZING: Utilizing logical, systematic and orderly procedures to meet objectives.

    * Works effectively within established time frames and priorities.
    * Utilizes logical, practical and efficient approaches.
    * Prioritizes tasks for optimum productivity.
    * Develops procedures, processes and systems for order, accuracy, efficiency and productivity.
    * Anticipates probable effects, outcomes and risks.
    * Develops contingency plans to minimize waste, error and risk.
    * Allocates, adjusts and manages resources according to priorities.
    * Monitors implementation of plans and makes adjustments as needed.

13. DIPLOMACY: Effectively handling difficult or sensitive issues by utilizing tact, diplomacy and an understanding of organizational culture, climate and/or politics.

    * Effectively utilizes tact and diplomacy in working with people across hierarchical, functional and/or cultural borders.
    * Understands cultural, climate and organizational issues.
    * Adapts conduct and communications to "politically correct" standards.
    * Effectively leverages networks of influence to get things done.
    * Is sensitive to the needs of "special interest" groups within organizations.
    * Builds relationships and networks with key people of influence.
    * Provides advice, counsel and mentoring on organizational issues.
    * Utilizes both formal and informal networks internally to obtain support and achieve results.
    * Utilizes both formal and informal networks externally to obtain support and achieve results.

14. PERSONAL EFFECTIVENESS: Demonstrating initiative, self confidence, resiliency and a willingness to take responsibility for personal actions.

    * Possesses unwavering confidence and belief in personal capabilities.
    * Takes initiative and does what ever it takes to achieve goals.
    * Projects confidence and self-assurance.
    * Bounces back after setbacks.
    * Asserts self in personal and professional life.
    * Admits mistakes and works to avoid repeating them.
    * Accepts personal responsibility for achieving personal and professional goals.
    * Functions effectively and achieves results even in adverse circumstances.

FIG. 6K

SUMMARY OF TOP COMPETENCIES

15. PRESENTING: Communicating effectively to groups.

   * Organizes information to be presented in succinct, logical sequence.
   * Presents information in ways that makes abstract or complex concepts clear and understandable.
   * Effectively utilizes language, word-pictures, stories, metaphors and humor.
   * Utilizes a wide range of non-verbal communication or body language such as speech inflection, voice modulation, eye contact, facial expression and gestures.
   * Implements a variety of visual and auditory devices to capture and invoke the audience's senses, participation and interest.
   * Projects authenticity, confidence, conviction and passion.
   * Appeals to and engages the heart and mind of the audience.
   * Tailors presentation to the interests, needs and wants of audiences.
   * Establishes and delivers content objectives.
   * Communicates in ways that elevate audience awareness and understanding.
   * Communicates in ways that enlighten, educate, challenge and persuade the audience to think, believe or behave in a specific way.
   * Is recognized and relied upon as an effective spokesperson.

16. MANAGEMENT: Achieving extraordinary results through effective management of resources, systems and processes.

   * Takes risks for the sake of goals, objectives or results.
   * Demonstrates optimism and positive expectations of others.
   * Establishes high performance standards.
   * Holds people accountable and focused on goals and priorities.
   * Identifies barriers to objectives and removes them.
   * Delegates appropriate responsibilities and authority.
   * Ensures adequate resources are available to achieve objectives.
   * Makes decisions that benefit the bottom line or return on investment.

17. NEGOTIATION: Facilitating agreements between two or more parties.

   * Understands both parties must get something they want before agreement is feasible.
   * Listens to identify and understand what each party wants.
   * Determines what each party is willing to accept in an agreement.
   * Establishes a non-threatening environment, conducive to open communication for discussing possible terms of agreement.
   * Develops the terms for an agreement.
   * Ensures each party understands the terms of agreement.
   * Binds agreements between parties with verbal and/or written contracts.

FIG. 6L

SUMMARY OF TOP COMPETENCIES

18. PERSUASION: Convincing others to change the way they think, believe or behave.

    * Utilizes the knowledge of other's needs, wants, beliefs, attitudes and behavior to promote a concept, product or service.
    * Builds trust and credibility before attempting to promote concepts, products or services.
    * Understands and utilizes compliance-producing behaviors to influence others such as authority, being likeable, proof of the prior compliance of others, limited availability, sampling or giving something away to create a sense of obligation.
    * Uses logic and reason to develop rational arguments that challenge current assumptions, attitudes, beliefs and behavior.
    * Identifies and addresses the social, emotional, economic and practical barriers that prevent people from complying.
    * Adapts techniques and approaches to the needs and wants of those being influenced.

19. EMPATHY: Identifying with and caring about others.

    * Demonstrates genuine concern for others.
    * Respects and values people.
    * Perceives and is sensitive to the emotions people experience.
    * Expends considerable effort to understand the real needs, concerns and feelings of others.
    * Advocates for the interests, needs and wants of others.
    * Demonstrates cross-cultural sensitivity and understanding.
    * Takes personal and/or professional risks for the sake of others.

20. CONTINUOUS LEARNING: Taking initiative in learning and implementing new concepts, technologies and/or methods.

    * Demonstrates curiosity and enthusiasm for learning.
    * Takes initiative in acquiring and mastering the skills and knowledge requirements of a position.
    * Keeps abreast of current or new information through reading and other learning methods.
    * Actively interested in new technologies, processes and methods.
    * Welcomes or seeks assignments requiring new skills and knowledge.
    * Expends considerable effort and/or expense on learning.
    * Genuinely enjoys learning.
    * Identifies applications for knowledge.
    * Is considered a knowledgeable resource by others.

FIG. 6M

SUMMARY OF TOP COMPETENCIES

21. FUTURISTIC THINKING: Imagining, envisioning, projecting and/or predicting what has not yet been realized.

* Demonstrates an ability to connect the dots and see the big-picture.
* Observes and analyzes the forces driving current reality that may have long term-effects.
* Utilizes foresight and intuitive perception as well as factual events to draw inferences.
* Recognizes, supports and/or champions progressive ideas.
* Anticipates future trends or events.
* Envisions possibilities others may not.
* Imagines and/or predicts changes in current reality based on deductive and conceptual reasoning.

22. DECISION MAKING: Utilizing effective processes to make decisions.

* Demonstrates an ability to make difficult decisions in a timely manner.
* Gathers relevant input and develops a rational for making decisions.
* Evaluates the impact or consequences of decisions before making them.
* Acts decisively despite obstacles, resistance or opposition.
* Accepts consequences of decisions.
* Willing to correct erroneous decisions when necessary.
* Defends rational for decisions when necessary.

23. SELF MANAGEMENT: Demonstrating self control and an ability to manage time and priorities.

* Effectively manages emotions and impulses.
* Effectively manages time and priorities to meet deadlines.
* Presents self assertively.
* Demonstrates an ability to maintain composure in the midst of crisis.
* Strives for continuous improvement.
* Balances personal and professional life.
* Takes initiative and acts without waiting for direction.
* Accepts responsibility for actions and results.

FIG. 6N

BEHAVIORAL INTERVIEW QUESTIONS

Studies show that traditional interviewing methods are less than 14% accurate in predicting performance. Properly conducted structured interviewing techniques focused on assessing the competencies most important for superior performance in a position can significantly improve accuracy over traditional interviewing methods.

Behavioral interviewing is a disciplined approach that has been used effectively by corporate America since the 1970s. Behavioral interviewing is based on the premise that past behavior is the best predictor of future behavior. Behavioral interview questions ask for specific examples and experiences from the candidate's past. Interviewers can determine whether or not candidates have actually demonstrated the required competencies by the examples they use.

To plan a structured or behavioral interview, start by reviewing the job description to clarify the most important accountabilities of the position. Then review the list of top seven competencies and determine their relative importance as selection criteria according to which ones are necessary to produce the most important results of the position. Next, review the suggestions for behavioral interview questions and select the ones that seem most appropriate for the position.

The suggested behavioral interview questions relate specifically to the top seven (7) competencies. For most positions, additional questions will need to be developed. Since technical competencies are not a part of the Position Survey, questions relative to technical competencies are not provided in this report. The technical competencies required for superior performance in positions will need to be identified and addressed in selection interviews. A complete interview plan includes the development of appropriate behavioral interview questions relating to both soft skill and technical competencies.

The manual provides a suggested methodology for evaluating candidates by weighting the competencies according to their importance, developing benchmarks for evaluating competency levels and a standardized candidate rating scale. Regardless of the interviewing, evaluation and selection methodologies an organization uses, the same process should be consistently applied with each and every candidate.

FIG. 60

BEHAVIORAL INTERVIEW QUESTIONS

1. LEADERSHIP: Achieving extraordinary business results through people.

    Listen for an ability to obtain the trust, commitment and motivation of others to achieve goals and objectives. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

    *   If you have held a leadership position in the past, draw the organizational chart above and below your position to illustrate the scope of your leadership responsibilities.
    *   Give me an example of when you inspired people with a vision.
    *   Tell me about a time when you significantly improved the performance of a group of people who reported directly to you.
    *   How did you motivate the top performers?
    *   Did you use the same techniques with the poor performers?
    *   If not, what did you do differently?
    *   What actions did you take to improve poor performance?
    *   Describe your leadership style.
    *   Tell me about a situation when you were able to maintain the trust and commitment of people after making or implementing a decision that negatively impacted them.
    *   Give me an example of when you took a significant risk for the sake of a principle, value or mission?
    *   Describe a situation when you failed to obtain the commitment, dedication and trust of others.
    *   What, if anything, would you do differently?

2. EMPLOYEE DEVELOPMENT/COACHING: Facilitating and supporting the professional growth of others.

    Listen for a belief in the potential of others and promoting of learning and development. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

    *   Describe your personal experience with a mentor or coach.
    *   What role have they played in your career development?
    *   What training or development activities have you participated in over the last three years?
    *   Give me an example of when your mentoring or coaching helped someone develop.
    *   What process or approach did you take?
    *   What, if any obstacles did you encounter?
    *   How did you overcome them?
    *   Describe a situation when you gave someone an assignment you knew would be a stretch for them.

FIG. 6 P

* What was the outcome?
* What influence or role have you had in advancing individual and organizational learning?
* Describe a situation when your personal learning and development objectives conflicted with business objectives?
* How did you resolve it?

3. TEAMWORK: Working effectively and productively with others.

Listen for strong commitment and contributions to team members working towards a specific goal. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of one of the most significant contributions you made as a member of a high performing team.
* What, in your opinion, made it a high performing team?
* Describe how you felt about the contributions of the others on the team.
* Give me an example of a situation where you had difficulties with a team member.
* What, if anything, did you do to resolve the difficulties?
* Describe how you felt about a decision the team wanted to make that you didn't agree with.
* Describe a situation where the team was having trouble agreeing on a decision and what you did to facilitate consensus.
* Give me an example of when you were on a team that failed to meet its objectives.
* What could the team have done differently?

4. CONFLICT MANAGEMENT: Addressing and resolving conflict constructively.

Listen for proactive identification and resolution of concerns and issues. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe the most difficult conflict you've ever had to manage.
* How did you handle the emotional component?
* What, if anything, did you do to resolve the conflict?
* Describe a situation where two people who reported to you had a conflict.
* What did you do to help them resolve it?
* What happened to their relationship going forward?
* Give me an example of when you identified the most important issues or concerns in a conflict situation.

FIG. 6Q

BEHAVIORAL INTERVIEW QUESTIONS

* Describe a situation when you were confronted directly by someone who reported to you.
* What was your response?
* What is your relationship with that individual today?
* What have you done to improve your ability to deal with conflict?
* Describe a situation when you were given special recognition or acknowledgement for resolving a conflict at work.
* Tell me about a time when you were able to calm someone who was upset at work.

5. INTERPERSONAL SKILLS: Effectively communicating, building rapport and relating well to all kinds of people.

Listen for self awareness, understanding and an ability to communicate effectively with others regardless of differences. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe the most difficult working relationship you've had with an individual.
* What specific actions did you take to improve the relationship?
* What was the outcome?
* Describe the types of people you get along with best and why.
* Describe the types of people you have difficulty getting along with and why.
* Give me an example of a situation when you demonstrated sensitivity to diversity issues.
* Describe a situation when you were able to strengthen a relationship by communicating effectively.
* What made your communication effective?
* Describe your relationship with the people you work with.
* What have you done in the past to build rapport and relationships with people?
* Give me an example of your ability to communicate effectively and build relationships with people regardless of cultural differences.
* Describe how your ability to communicate effectively and build relationships with many different types of people has contributed to one of your greatest accomplishments.

6. PROBLEM SOLVING: Anticipating, analyzing, diagnosing and resolving problems.

Listen for an analytical and disciplined approach to solving problems. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

FIG. 6R

BEHAVIORAL INTERVIEW QUESTIONS

* Describe a situation when you anticipated a problem.
* What, if anything did you do about it?
* Give me an example of when your diagnosis of a problem proved to be correct.
* What approach did you take to diagnose the problem?
* What was the outcome?
* Describe the most difficult work problem you've ever encountered.
* What made it difficult?
* What steps did you take towards developing a solution?
* What factors did you consider in evaluating solutions?
* What solution was implemented and how successful was it in solving the problem?

7. CREATIVITY/INNOVATION: Adapting traditional or devising new approaches, concepts, methods, models, designs, processes, technologies and/or systems.

Listen for "out-of-the-box" thinking and unusual approaches. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe a work situation when you adapted a concept, design, process or system to meet a need.
* How did you go about it?
* Describe a work situation when you took an unusual or non-traditional approach to get results.
* What made your approach so unusual?
* Why did you take that approach?
* How did others respond to your approach?
* What was the outcome?
* What, if anything, would you do differently?
* Give me an example of when you were given special recognition for a new idea, method or process that improved results.

8. WRITTEN COMMUNICATION: Writing clearly, succinctly and understandably.

Listen for examples of clear, understandable writing that is effective at achieving a specific communication goal. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of something you wrote that was effective in achieving a communication goal.

FIG. 65

BEHAVIORAL INTERVIEW QUESTIONS

* What were the challenges in writing it?
* Give me an example of when you adapted your writing to your reader(s).
* How did you adapt your writing?
* How do you know when something you've written has achieved its communication goal?
* Describe the most difficult writing challenge you've had.
* How did you meet it?
* Tell me about any experiences you've had with publishing your writing.
* Do you have any examples of writing that demonstrate your ability to write effectively?
* Give me an example of when you were given special recognition or acknowledgement for your ability to write a business document such as a proposal, report, newsletter or article.
* Describe a situation when your editing improved the effectiveness of someone else's writing.

9. CUSTOMER SERVICE: Anticipating, meeting and/or exceeding customer needs, wants and expectations.

    Listen for extraordinary effort in responding to customer needs and wants to insure satisfaction. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

    * Give me an example of when you went out of your way for a customer.
    * What was the outcome?
    * Describe the most difficult customer you've ever had to deal with and how you handled them.
    * Describe a situation when you were given outstanding customer service.
    * What made it stand out?
    * Describe a situation when you felt a particularly demanding customer may have been trying to take advantage of you or the organization.
    * What was the outcome?
    * Give me an example of a situation where you improved the level of customer service in your organization.
    * What did you do to improve it?
    * What was the outcome?
    * Give me an example of when you were given special recognition or acknowledgement for going the extra mile to satisfy a customer.
    * Question: Describe a situation when you took a stand for a customer.

FIG 61

BEHAVIORAL INTERVIEW QUESTIONS

10. FLEXIBILITY: Agility in adapting to change.

Listen for a positive attitude towards lots of activity, multi-tasking and change, in general. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of when you were forced to change priorities or direction.
* How did you feel when you were first confronted with this change?
* Describe a time when there was an extraordinary amount of activity at work.
* How did you handle it?
* Describe a situation when you were the author or architect of a change.
* What were the barriers to implementing the change and how did you get beyond them?
* How did you get buy-in from others?
* What was the outcome?
* Give me an example of when you were one of the first to get on board when a major change was introduced.
* Describe a situation when you were given special recognition or acknowledgement for your ability to adapt quickly to a change.

11. GOAL ORIENTATION: Energetically focusing efforts on meeting a goal, mission or objective.

Listen for determination, persistence and a "never-give-up" attitude in efforts to meet goals. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of the most significant professional goal you have met.
* How did you achieve it?
* What were the obstacles?
* How did you overcome them?
* Give me an example of when you took a risk to achieve a goal.
* What was the outcome?
* What are your future professional goals?
* How do you plan to achieve them?
* What might keep you from achieving them?
* Tell me about a time when you overcame great obstacles to achieve something significant.
* Give me an example of when you achieved something by your persistence that others couldn't.

FIG. 6U

12. PLANNING/ORGANIZING: Utilizing logical, systematic and orderly procedures to meet objectives.

Listen for logical, organized and systematic approaches. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe the most complex assignment or project you've worked on.
* What actions did you take to start the assignment or project?
* What were the most challenging aspects of the assignment or project?
* How did you determine what steps needed to be taken to complete it?
* How did you determine what resources were needed?
* What obstacles did you encounter that you didn't anticipate?
* What could you have done differently?
* Describe a situation when your planning and preparation was a major factor in the success of a project.
* Describe a work situation where your lack of planning and organizing had a negative effect.
* Give me an example of when you were given special recognition or acknowledgement for your attention to detail.

13. DIPLOMACY: Effectively handling difficult or sensitive issues by utilizing tact, diplomacy and an understanding of organizational culture, climate and/or politics.

Listen for insight, sensitivity and wisdom in handling issues associated with organizational culture, climate and politics. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe a situation when politics played a major role in your career.
* Who were the key players?
* How did you know who the key players were?
* What part did they play in the situation?
* What was the outcome?
* Give me an example of when you used tact and diplomacy effectively.
* Describe a situation when politics negatively affected your career.
* What, if anything, would you do differently?
* Describe a situation when your sense of what was "politically correct" proved to be an asset.
* Give me an example of when you were given special recognition or acknowledgement for handling a sensitive organizational issue effectively.

FIG. 6V

* Describe a situation when you gave someone good advice on how to handle a politically sensitive issue.

14. PERSONAL EFFECTIVENESS: Demonstrating initiative, self confidence, resiliency and a willingness to take responsibility for personal actions.

Listen for a strong sense of self, personal responsibility, courage and resilience. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* What do you think has enabled you to meet your goals?
* Give me an example of when you were able to accomplish something others didn't believe you could.
* Why were you able to accomplish it despite the negative opinions of others?
* Describe a time when all indications were that you probably would fail but you still didn't give up.
* What were your feelings during this time?
* Describe a situation when you failed to achieve a professional goal.
* How did you handle it?
* What happened next?
* Describe the lowest point in your career.
* How did you get beyond that point and go forward?

15. PRESENTING: Communicating effectively to groups.

Listen for positive audience feedback. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe a situation when you had to give a presentation to a group of people you had never met.
* What did you to do prepare for the presentation?
* What were the objectives of the presentation?
* What was the feedback from the audience on the presentation?
* Give me an example of a particularly effective presentation you gave.
* What made it effective?
* Give me an example of a time when your presentation was criticized.
* What changes did you make, if any, based on that feedback?
* What have you done to develop your presentation skills?
* Give me an example of when you gave such a powerful presentation that the same group wanted you to give another presentation.

FIG. 6W

* Describe a situation when you were given special recognition or acknowledgement for delivering an excellent presentation.

16. MANAGEMENT: Achieving extraordinary results through effective management of resources, systems and processes.

Listen for shrewd business sense, understanding of operational issues and an ability to improve the bottom line. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe the largest budget you've ever developed and had responsibility for managing.
* What process did you use to develop it?
* Give me an example of when you exceeded your budget, what caused the overage and what you did, if anything, to remedy the situation.
* Give me an example of when you had a quality problem and what you did to resolve it.
* Give me an example of when you were able to turn an organization around financially.
* Describe a time when you were able to achieve extraordinary results by effectively managing resources, systems or procedures.
* Tell me about how you handled a situation when you had to choose between the bottom line and making people happy.
* Give me an example of when you took a significant risk for the sake of a principle, value or mission?
* Describe a situation when you had to hold people accountable for results.
* Give me an example of how you removed a significant barrier in order to meet objectives.
* Describe a situation when others believed you had set the standard too high but you continued to push them to achieve the goal.

17. NEGOTIATION: Facilitating agreements between two or more parties.

Listen for seasoned expertise in negotiating "win-win" agreements. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of when you were able to facilitate a "win-win" agreement between two or more adversarial parties.
* How did you use to get them to agree?
* What were the obstacles?
* How did you get over them?

FIG. 6X

* What was the outcome?
* Give me an example of when you were unable to facilitate a "win-win" agreement.
* What factors hindered the agreement?
* What, if anything, would you do differently?
* Describe a situation when you had to negotiate an agreement with someone who took an unreasonable position.
* What did you do to bring them closer to agreement?
* Give me an example of when you played a key role in negotiating a significant contract or agreement.
* What steps have you taken to improve your ability to negotiate?

18. PERSUASION: Convincing others to change the way they think, believe or behave.

Listen for the expert utilization of various influencing strategies to obtain compliance. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe a situation where you were able to convince others to your way of thinking.
* How did you do it?
* Describe a situation when the only way you could accomplish a goal was to get buy-in from others.
* What obstacles did you have in obtaining their buy-in?
* How did you overcome them?
* What was the outcome?
* Give me an example of when you were able to facilitate a dramatic shift in the thinking, actions or beliefs of others.
* What techniques or methods did you use?
* Give me an example of a situation when you were given special recognition or acknowledgement for your ability to get others to say yes.
* Describe a situation when you accomplished something significant as a result of your persuasive ability.

19. EMPATHY: Identifying with and caring about others.

Listen for genuine caring, compassion and initiative in assisting others without expectations of rewards. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of when you identified with someone else's difficulties at work.

FIG. 6Y

* What, if anything, did you do to help them?
* Give me an example of a time when a company policy or action hurt people.
* What, if anything did you do to mitigate the negative consequences to people?
* Give me an example of when you went out of your way to help someone.
* What were your thoughts and feelings about that situation?
* Give me an example of when you had to make a decision in favor of your own self-interest or someone else's.
* What were your thoughts and feelings?
* What did you do?
* What positive contributions have you made to your community or society?
* Give me an example of when you were given special recognition or acknowledgement for your contributions to the disadvantaged.
* Describe a situation when you were criticized for being too concerned about the difficulties of others.

20. CONTINUOUS LEARNING: Taking initiative in learning and implementing new concepts, technologies and/or methods.

Listen for positive attitude towards self-improvement, learning and the application of knowledge. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* How do you keep current on what's going on in your field?
* What books and magazines you have read or classes you have taken to keep abreast of what's new in your field?
* What was the last book you read?
* What learning activities have you been involved with since College/High School?
* Give me an example of when you were able to apply a concept, theory or knowledge to a work problem or situation.
* Describe how something you learned made a significant difference in your career.
* Give me an example of when you did not know enough about something to be effective.
* What did you do about it?
* In what ways have you invested in yourself to improve your performance?
* What self-improvement activities are you currently involved in?
* Give me an example that illustrates how other people have used you as a resource for knowledge in your field.
* What do you want to learn before you die?

FIG. 6Z

21. FUTURISTIC THINKING: Imagining, envisioning, projecting and/or predicting what has not yet been realized.

Listen for optimism, predictions and a commitment to future possibilities. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe a situation when you were correct in seeing a future trend that others didn't.
* What reaction did you have to those who did not see the trend?
*
* Give me an example of when you predicted something that would happen in your department, organization or industry.
* What caused you to make that prediction?
* What was the most "far-out" concept you've ever had or supported?
* Why did you believe in it?
* What was the outcome?
* What, in your opinion, are the trends or events that will impact this organization and its industry?
* Give me an example of an idea you had that others thought was too far out but has since proved to be visionary.
* Describe a situation when you maintained your commitment to a futuristic idea or venture even though others predicted failure.

22. DECISION MAKING: Utilizing effective processes to make decisions.

Listen for an ability to make timely decisions under difficult circumstances. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of when you had to make a quick decision when the risk of making an error was high.
* What concerns did you have about your decision?
* What was the outcome?
* Describe how you handled a situation when a decision you made was challenged.
* Give me an example of when you solved a particularly difficult problem when others couldn't.
* What actions did you take to resolve the problem?
* What made your solution work?
* What kinds of problems have you been most successful at resolving?
* What decision are you most proud of making?

FIG. 6AA

BEHAVIORAL INTERVIEW QUESTIONS

23. SELF MANAGEMENT: Demonstrating self control and an ability to manage time and priorities.

Listen for composure, assertiveness and emotional stability. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of when you were able to meet the personal and professional demands in your life yet still maintained a healthy balance.
* Describe a situation when you had to exercise a significant amount of self control.
* Describe a situation when you demonstrated initiative and took action without waiting for direction.
* What was the outcome?
* Give me an example of when your ability to manage your time and priorities proved to be an asset.
* What have you done in the past that demonstrates your commitment to continuous improvement?
* Give me an example of when you were responsible for an error or mistake.
* What was the outcome?
* What, if anything would you do differently?
* Describe a time when you had to make a difficult choice between your personal and professional life.

FIG. 6BB

Performance DNA International, Ltd.
Position Report

A complete evaluation of the competencies necessary
to achieve superior performance in the position.

Auto Sales
Bonnstetter Auto

12/16/99

1046-2763

Prepared by Performance DNA International, Ltd.

FIG. 7A

INTRODUCTION

The purpose of this report is to provide insight into the most important performance criteria for the position. Managers or leaders are encouraged to discuss the results of the report with new hires and incumbents to enhance their understanding of performance expectations. The information in this report is particularly valuable to organizations in the following Human Resource activities:

- BUILDING COMPETENCY PROFILES OR MODELS
- DESIGNING PERFORMANCE EVALUATION PROCESSES
- ASSESSING TRAINING AND DEVELOPMENT NEEDS
- DEVELOPING COMPENSATION AND REWARD SYSTEMS
- DESIGNING SUCCESSION PLANNING PROCESSES
- DEVELOPING SELECTION SYSTEMS

Information in the report is based on an objective analysis of data collected from specially selected individuals who understand the position well. Report results reflect a summary of their responses to the Position Survey questionnaire. The report results are generated by a computer analysis of all responses. Hundreds of calculations are performed to determine the key performance criteria of the position. Where there were multiple respondent data, an average composite of all responses is provided.

Each section of the report is designed to address important aspects of the position. Clarity, understanding and consensus on what competencies are required for superior performance is essential to optimize selection, training and development, performance evaluation, rewards, recognition and succession planning programs. Read each section of the report carefully to gain insight into the most important position requirements.

Research indicates that a specific group of competencies are required to produce superior performance in most positions. This report provides detailed descriptions on seven (7) of the most important competencies required for superior performance in the position. Significant differences in respondent rankings of the competencies indicate a need for clarification. It is recommended that the results of the report be discussed with incumbents and management to obtain consensus before integrating the information into Human Resource processes.

The last section of the report provides samples of behavioral interview questions designed to assist hiring authorities to plan structured selection interviews. The questions provide a framework for comparing candidate competency strengths with the competency requirements of the position. Select the questions that seem most appropriate to the position being analyzed.

FIG. 7B

SUGGESTIONS FOR IMPLEMENTING
REPORT RESULTS

Before implementing the information in this report, it is recommended that the respondents meet to verify the results of the report. The hierarchy of competencies should not be accepted at face value as a competency model for the position. The hierarchical order of the competencies represents the relative importance of competencies in relationship to each other. Although competencies are shown in a hierarchy, several competencies may be relatively equal in importance.

Position reports on hundreds of positions confirms that it is more practical to eliminate the competencies that are not important for superior performance than to debate the precise order of the most important competencies. Based on the analysis of the responses to the questionnaire, the competencies noted with an asterisk have little or no importance in producing superior performance in the position. Therefore, they should not be emphasized in selection, training and development, performance evaluation, rewards, recognition or succession planning processes aimed at this position.

The data on hundreds of positions also confirms that differences in respondent rankings of competencies are common. The information in this report is designed to highlight both the differences as well as the similarities between respondent rankings of competencies.

Differences in competency rankings can be attributed to a number of factors. Some respondents may be high performing incumbents with a thorough understanding of the position, while others may be new to the position.

In some cases, respondents will have a different perspective of the importance of competencies by virtue of their unique relationship to the position. For example, a customer of the position may have a tendency to weight the customer service competency over others.

In cases where a position is being impacted by significant change, the difference in perspectives provides a valuable framework for respondents to create the new behavioral blueprint for success together. Working through the results of the report together, respondents can achieve a new level of understanding about how the demonstration of specific behaviors contributes to the fulfillment of the most important accountabilities and responsibilities in the position.

FIG 7C

HIERARCHY OF COMPETENCIES

The competencies required for superior performance have been prioritized based on the analysis of responses to the questionnaire. Where there were multiple respondents to the questionnaire, the list represents a composite average of all responses. The hierarchical order of the competencies represents their relative importance to each other in producing superior performance in the position.

#	HIERARCHY OF COMPETENCIES
1	Customer Service
2	Persuasion
3	Interpersonal Skills
4	Goal Orientation
5	Creativity/Innovation
6	Self Management
7	Diplomacy
8	Written Communication
9	Continuous Learning
10	Presenting
11	Flexibility
12	Teamwork
13	Problem Solving
14	Empathy
15	Futuristic Thinking
16	Negotiation
17	Personal Effectiveness
18	Planning/Organizing
19	Management
20	Conflict Management
21	Decision Making
22	Leadership
23	Employee Development/Coaching

■ Very Important   ▦ Important   ☐ Not Important

Distribution of Competency Rankings

The distribution of competency rankings illustrates individual differences in responses from multiple respondents to the questionnaire. The hierarchical listing of competencies on the left side of the chart represents the composite ranking of all respondents on each competency. The right side of the chart lists the competency rankings of each individual respondent.

	HIERARCHY OF COMPETENCIES	R1	R2
1	Customer Service	1	1
2	Persuasion	3	4
3	Interpersonal Skills	2	5
4	Goal Orientation	6	2
5	Creativity/Innovation	5	6
6	Self Management	11	3
7	Diplomacy	8	9
8	Written Communication	10	7
9	Continuous Learning	4	14
10	Presenting	9	10
11	Flexibility	7	13
12	Teamwork	13	11
13	Problem Solving	17	8
14	Empathy	12	12
15	Futuristic Thinking	15	15
16	Negotiation	14	16
17	Personal Effectiveness	16	17
18	Planning/Organizing	22	18
19	Management	19	20
20	Conflict Management	18	22
21	Decision Making	21	19
22	Leadership	20	21
23	Employee Development/Coaching	23	23

■ Very Important   ▨ Important   ☐ Not Important

Note: Based on the analysis of the responses to the questionnaire, the order of the competencies indicates three levels of importance shown by the average of the group as well as individual rankings. Competencies that are not important should not be emphasized in selection, training and development, performance evaluation, rewards, recognition or succession planning processes aimed at this position. Significant differences between respondents' rankings may indicate a need for clarification.

FIG. 7E

Key Characteristics of The Position

The position has been analyzed relative to four key characteristics. These characteristics are accountability for results, results through people, authority and risk. Based on the responses to the questionnaire, these characteristics have been measured on a sliding scale and are illustrated by a bar graph. The scale range includes none, slight, moderate, significant and major.

Accountability For Results: This characteristic addresses the accountability for producing measurable results in the position. This includes accountability for meeting financial, operations and/or system objectives.

None	Slight	Moderate	Significant	Major

Results through People: This characteristic addresses the emphasis on producing results through the efforts and cooperation of people. This characteristic is not limited to management or leadership positions. Many non-management or leadership positions in team-based organizational structures depend heavily upon the efforts and cooperation of people to produce results.

None	Slight	Moderate	Significant	Major

Authority: This characteristic addresses the level of authority that exists in the position. Evidence of authority can be found in the ability to make decisions or changes without prior approval from upper management. This characteristic is not limited to management or leadership positions. In their efforts to become more responsive, many large organizations are finding it necessary to drive decision-making downward. In these organizations, many positions can be characterized by a moderate to significant amount of authority but are not considered management or leadership.

None	Slight	Moderate	Significant	Major

Risks: This characteristic addresses the inherent level of business risk or liability to the organization that exists in the position. Positions with indications of moderate, significant or major levels of inherent risk or liability to the organization may warrant the use of drug, alcohol and/or other appropriate assessments in their selection and management systems.

None	Slight	Moderate	Significant	Major

SUMMARY OF TOP COMPETENCIES

This report focuses on soft skill competencies because they are usually more difficult to identify or assess than technical competencies or experience. Observing the behaviors people use to produce superior performance can provide insight into the demonstration of competencies. Seven (7) of the most important competencies required to produce superior performance are described below in terms of observable behaviors. The behaviors listed below each competency provide examples of some of the ways the competency is demonstrated. Read each behavior and check the ones that must be demonstrated to produce superior performance in the position. More importance is typically placed on those behaviors that must be demonstrated consistently on a daily, weekly or monthly basis.

1. CUSTOMER SERVICE: Anticipating, meeting and/or exceeding customer needs, wants and expectations.

   * Strives to anticipate, identify and understand customers' wants, needs and concerns.
   * Responds to customers with a sense of urgency.
   * Follows through on customer requests.
   * Is patient and courteous with customers.
   * Resolves issues and complaints to the satisfaction of customers.
   * Expends extraordinary effort to satisfy customers.
   * Develops relationships with customers.
   * Partners with customers to assist them in achieving their objectives.
   * Acts as an advocate for customers' needs.
   * Takes professional risks for the sake of customers' needs.

2. PERSUASION: Convincing others to change the way they think, believe or behave.

   * Utilizes the knowledge of other's needs, wants, beliefs, attitudes and behavior to promote a concept, product or service.
   * Builds trust and credibility before attempting to promote concepts, products or services.
   * Understands and utilizes compliance-producing behaviors to influence others such as authority, being likeable, proof of the prior compliance of others, limited availability, sampling or giving something away to create a sense of obligation.
   * Uses logic and reason to develop rational arguments that challenge current assumptions, attitudes, beliefs and behavior.
   * Identifies and addresses the social, emotional, economic and practical barriers that prevent people from complying.
   * Adapts techniques and approaches to the needs and wants of those being influenced.

FIG. 76

SUMMARY OF TOP COMPETENCIES

3. INTERPERSONAL SKILLS: Effectively communicating, building rapport and relating well to all kinds of people.

   * Strives for self-awareness.
   * Demonstrates sincere interest in others.
   * Treats all people with respect, courtesy and consideration.
   * Respects differences in the attitudes and perspectives of others.
   * Listens, observes and strives to gain understanding of others.
   * Communicates effectively.
   * Sensitive to diversity issues.
   * Develops and maintains relationships with many different kinds of people regardless of cultural differences.

4. GOAL ORIENTATION: Energetically focusing efforts on meeting a goal, mission or objective.

   * Acts independently to achieve objectives without supervision.
   * Expends the necessary time and effort to achieve goals.
   * Recognizes and acts on opportunities to advance progress towards meeting goals.
   * Establishes and works toward ambitious and challenging goals.
   * Develops and implements strategies to meet objectives.
   * Measures effectiveness and performance to ensure results are attained.
   * Acts with a sense of urgency to achieve goals.
   * Demonstrates persistence in overcoming obstacles to meet objectives.
   * Takes calculated risks to achieve results.

5. CREATIVITY/INNOVATION: Adapting traditional or devising new approaches, concepts, methods, models, designs, processes, technologies and/or systems.

   * Notices unique patterns, variables, processes, systems or relationships.
   * Expresses non-traditional perspectives and/or novel approaches.
   * Synthesizes and/or simplifies data, ideas, models, processes or systems.
   * Challenges established theories, methods and/or protocols.
   * Encourages and promotes creativity and innovation.
   * Modifies existing concepts, methods, models, designs, processes, technologies and systems.
   * Develops and tests new theories to explain or resolve complex issues.
   * Applies unorthodox theories and/or methods.
   * Imagines new or revolutionary concepts, methods, models, designs, processes, technology, systems, products, services or industries.

SUMMARY OF TOP COMPETENCIES

6. SELF MANAGEMENT: Demonstrating self control and an ability to manage time and priorities.

   * Effectively manages emotions and impulses.
   * Effectively manages time and priorities to meet deadlines.
   * Presents self assertively.
   * Demonstrates an ability to maintain composure in the midst of crisis.
   * Strives for continuous improvement.
   * Balances personal and professional life.
   * Takes initiative and acts without waiting for direction.
   * Accepts responsibility for actions and results.

7. DIPLOMACY: Effectively handling difficult or sensitive issues by utilizing tact, diplomacy and an understanding of organizational culture, climate and/or politics.

   * Effectively utilizes tact and diplomacy in working with people across hierarchical, functional and/or cultural borders.
   * Understands cultural, climate and organizational issues.
   * Adapts conduct and communications to "politically correct" standards.
   * Effectively leverages networks of influence to get things done.
   * Is sensitive to the needs of "special interest" groups within organizations.
   * Builds relationships and networks with key people of influence.
   * Provides advice, counsel and mentoring on organizational issues.
   * Utilizes both formal and informal networks internally to obtain support and achieve results.
   * Utilizes both formal and informal networks externally to obtain support and achieve results.

FIG. 7I

BEHAVIORAL INTERVIEW QUESTIONS

Studies show that traditional interviewing methods are less than 14% accurate in predicting performance. Properly conducted structured interviewing techniques focused on assessing the competencies most important for superior performance in a position can significantly improve accuracy over traditional interviewing methods.

Behavioral interviewing is a disciplined approach that has been used effectively by corporate America since the 1970s. Behavioral interviewing is based on the premise that past behavior is the best predictor of future behavior. Behavioral interview questions ask for specific examples and experiences from the candidate's past. Interviewers can determine whether or not candidates have actually demonstrated the required competencies by the examples they use.

To plan a structured or behavioral interview, start by reviewing the job description to clarify the most important accountabilities of the position. Then review the list of top seven competencies and determine their relative importance as selection criteria according to which ones are necessary to produce the most important results of the position. Next, review the suggestions for behavioral interview questions and select the ones that seem most appropriate for the position.

The suggested behavioral interview questions relate specifically to the top seven (7) competencies. For most positions, additional questions will need to be developed. Since technical competencies are not a part of the Position Survey, questions relative to technical competencies are not provided in this report. The technical competencies required for superior performance in positions will need to be identified and addressed in selection interviews. A complete interview plan includes the development of appropriate behavioral interview questions relating to both soft skill and technical competencies.

The manual provides a suggested methodology for evaluating candidates by weighting the competencies according to their importance, developing benchmarks for evaluating competency levels and a standardized candidate rating scale. Regardless of the interviewing, evaluation and selection methodologies an organization uses, the same process should be consistently applied with each and every candidate.

FIG. 7J

BEHAVIORAL INTERVIEW QUESTIONS

1. **CUSTOMER SERVICE:** Anticipating, meeting and/or exceeding customer needs, wants and expectations.

   Listen for extraordinary effort in responding to customer needs and wants to insure satisfaction. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

   * Give me an example of when you went out of your way for a customer.
   * What was the outcome?
   * Describe the most difficult customer you've ever had to deal with and how you handled them.
   * Describe a situation when you were given outstanding customer service.
   * What made it stand out?
   * Describe a situation when you felt a particularly demanding customer may have been trying to take advantage of you or the organization.
   * What was the outcome?
   * Give me an example of a situation where you improved the level of customer service in your organization.
   * What did you do to improve it?
   * What was the outcome?
   * Give me an example of when you were given special recognition or acknowledgement for going the extra mile to satisfy a customer.
   * Question: Describe a situation when you took a stand for a customer.

2. **PERSUASION:** Convincing others to change the way they think, believe or behave.

   Listen for the expert utilization of various influencing strategies to obtain compliance. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

   * Describe a situation where you were able to convince others to your way of thinking.
   * How did you do it?
   * Describe a situation when the only way you could accomplish a goal was to get buy-in from others.
   * What obstacles did you have in obtaining their buy-in?
   * How did you overcome them?
   * What was the outcome?
   * Give me an example of when you were able to facilitate a dramatic shift in the thinking, actions or beliefs of others.
   * What techniques or methods did you use?
   * Give me an example of a situation when you were given special recognition or acknowledgement for your ability to get others to say yes.

BEHAVIORAL INTERVIEW QUESTIONS

* Describe a situation when you accomplished something significant as a result of your persuasive ability.

3. INTERPERSONAL SKILLS: Effectively communicating, building rapport and relating well to all kinds of people.

Listen for self awareness, understanding and an ability to communicate effectively with others regardless of differences. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe the most difficult working relationship you've had with an individual.
* What specific actions did you take to improve the relationship?
* What was the outcome?
* Describe the types of people you get along with best and why.
* Describe the types of people you have difficulty getting along with and why.
* Give me an example of a situation when you demonstrated sensitivity to diversity issues.
* Describe a situation when you were able to strengthen a relationship by communicating effectively.
* What made your communication effective?
* Describe your relationship with the people you work with.
* What have you done in the past to build rapport and relationships with people?
* Give me an example of your ability to communicate effectively and build relationships with people regardless of cultural differences.
* Describe how your ability to communicate effectively and build relationships with many different types of people has contributed to one of your greatest accomplishments.

4. GOAL ORIENTATION: Energetically focusing efforts on meeting a goal, mission or objective.

Listen for determination, persistence and a "never-give-up" attitude in efforts to meet goals. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of the most significant professional goal you have met.
* How did you achieve it?
* What were the obstacles?
* How did you overcome them?
* Give me an example of when you took a risk to achieve a goal.
* What was the outcome?

BEHAVIORAL INTERVIEW QUESTIONS

* What are your future professional goals?
* How do you plan to achieve them?
* What might keep you from achieving them?
* Tell me about a time when you overcame great obstacles to achieve something significant.
* Give me an example of when you achieved something by your persistence that others couldn't.

5. CREATIVITY/INNOVATION: Adapting traditional or devising new approaches, concepts, methods, models, designs, processes, technologies and/or systems.

Listen for "out-of-the-box" thinking and unusual approaches. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe a work situation when you adapted a concept, design, process or system to meet a need.
* How did you go about it?
* Describe a work situation when you took an unusual or non-traditional approach to get results.
* What made your approach so unusual?
* Why did you take that approach?
* How did others respond to your approach?
* What was the outcome?
* What, if anything, would you do differently?
* Give me an example of when you were given special recognition for a new idea, method or process that improved results.

6. SELF MANAGEMENT: Demonstrating self control and an ability to manage time and priorities.

Listen for composure, assertiveness and emotional stability. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of when you were able to meet the personal and professional demands in your life yet still maintained a healthy balance.
* Describe a situation when you had to exercise a significant amount of self control.
* Describe a situation when you demonstrated initiative and took action without waiting for direction.

BEHAVIORAL INTERVIEW QUESTIONS

* What was the outcome?
* Give me an example of when your ability to manage your time and priorities proved to be an asset.
* What have you done in the past that demonstrates your commitment to continuous improvement?
* Give me an example of when you were responsible for an error or mistake.
* What was the outcome?
* What, if anything would you do differently?
* Describe a time when you had to make a difficult choice between your personal and professional life.

7. **DIPLOMACY:** Effectively handling difficult or sensitive issues by utilizing tact, diplomacy and an understanding of organizational culture, climate and/or politics.

Listen for insight, sensitivity and wisdom in handling issues associated with organizational culture, climate and politics. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe a situation when politics played a major role in your career.
* Who were the key players?
* How did you know who the key players were?
* What part did they play in the situation?
* What was the outcome?
* Give me an example of when you used tact and diplomacy effectively.
* Describe a situation when politics negatively affected your career.
* What, if anything, would you do differently?
* Describe a situation when your sense of what was "politically correct" proved to be an asset.
* Give me an example of when you were given special recognition or acknowledgement for handling a sensitive organizational issue effectively.
* Describe a situation when you gave someone good advice on how to handle a politically sensitive issue.

FIG. 7N

Performance DNA International, Ltd.
Position Report

A complete evaluation of the competencies necessary
to achieve superior performance in the position.

VP Marketing
Target Training International

12/21/99

1050-2315

Prepared by Performance DNA International, Ltd.

INTRODUCTION

The purpose of this report is to provide insight into the most important performance criteria for the position. Managers or leaders are encouraged to discuss the results of the report with new hires and incumbents to enhance their understanding of performance expectations. The information in this report is particularly valuable to organizations in the following Human Resource activities:

- BUILDING COMPETENCY PROFILES OR MODELS
- DESIGNING PERFORMANCE EVALUATION PROCESSES
- ASSESSING TRAINING AND DEVELOPMENT NEEDS
- DEVELOPING COMPENSATION AND REWARD SYSTEMS
- DESIGNING SUCCESSION PLANNING PROCESSES
- DEVELOPING SELECTION SYSTEMS

Information in the report is based on an objective analysis of data collected from specially selected individuals who understand the position well. Report results reflect a summary of their responses to the Position Survey questionnaire. The report results are generated by a computer analysis of all responses. Hundreds of calculations are performed to determine the key performance criteria of the position. Where there were multiple respondent data, an average composite of all responses is provided.

Each section of the report is designed to address important aspects of the position. Clarity, understanding and consensus on what competencies are required for superior performance is essential to optimize selection, training and development, performance evaluation, rewards, recognition and succession planning programs. Read each section of the report carefully to gain insight into the most important position requirements.

Research indicates that a specific group of competencies are required to produce superior performance in most positions. This report provides detailed descriptions on seven (7) of the most important competencies required for superior performance in the position. Significant differences in respondent rankings of the competencies indicate a need for clarification. It is recommended that the results of the report be discussed with incumbents and management to obtain consensus before integrating the information into Human Resource processes.

The last section of the report provides samples of behavioral interview questions designed to assist hiring authorities to plan structured selection interviews. The questions provide a framework for comparing candidate competency strengths with the competency requirements of the position. Select the questions that seem most appropriate to the position being analyzed.

FIG. 8B

HIERARCHY OF COMPETENCIES

The competencies required for superior performance have been prioritized based on the analysis of responses to the questionnaire. Where there were multiple respondents to the questionnaire, the list represents a composite average of all responses. The hierarchical order of the competencies represents their relative importance to each other in producing superior performance in the position.

	HIERARCHY OF COMPETENCIES
1	Self Management
2	Employee Development/Coaching
3	Customer Service
4	Teamwork
5	Leadership
6	Personal Effectiveness
7	Planning/Organizing
8	Interpersonal Skills
9	Goal Orientation
10	Diplomacy
11	Management
12	Negotiation
13	Presenting
14	Empathy
15	Decision Making
16	Persuasion
17	Problem Solving
18	Written Communication
19	Conflict Management
20	Futuristic Thinking
21	Flexibility
22	Creativity/Innovation
23	Continuous Learning

■ Very Important　▨ Important　□ Not Important

FIG. 8C

SUGGESTIONS FOR IMPLEMENTING
REPORT RESULTS

Before implementing the information in this report, it is recommended that the respondents meet to verify the results of the report. The hierarchy of competencies should not be accepted at face value as a competency model for the position. The hierarchical order of the competencies represents the relative importance of competencies in relationship to each other. Although competencies are shown in a hierarchy, several competencies may be relatively equal in importance.

Position reports on hundreds of positions confirms that it is more practical to eliminate the competencies that are not important for superior performance than to debate the precise order of the most important competencies. Based on the analysis of the responses to the questionnaire, the competencies noted as not important should not be emphasized in selection, training and development, performance evaluation, rewards, recognition or succession planning processes aimed at this position.

The data on hundreds of positions also confirms that differences in respondent rankings of competencies are common. The information in this report is designed to highlight both the differences as well as the similarities between respondent rankings of competencies.

Differences in competency rankings can be attributed to a number of factors. Some respondents may be high performing incumbents with a thorough understanding of the position, while others may be new to the position.

In some cases, respondents will have a different perspective of the importance of competencies by virtue of their unique relationship to the position. For example, a customer of the position may have a tendency to weight the customer service competency over others.

In cases where a position is being impacted by significant change, the difference in perspectives provides a valuable framework for respondents to create the new behavioral blueprint for success together. Working through the results of the report together, respondents can achieve a new level of understanding about how the demonstration of specific behaviors contributes to the fulfillment of the most important accountabilities and responsibilities in the position.

FIG. 80

Distribution of Competency Rankings

The distribution of competency rankings illustrates individual differences in responses from multiple respondents to the questionnaire. The hierarchical listing of competencies on the left side of the chart represents the composite ranking of all respondents on each competency. The right side of the chart lists the competency rankings of each individual respondent.

	HIERARCHY OF COMPETENCIES	R1	R2	R3	R4	R5
1	Self Management	2	1	3	8	1
2	Employee Development/Coaching	19	5	2	6	3
3	Customer Service	13	4	1	10	13
4	Teamwork	7	14	4	15	4
5	Leadership	10	3	8	19	11
6	Personal Effectiveness	6	8	15	4	14
7	Planning/Organizing	18	7	9	17	2
8	Interpersonal Skills	20	6	7	5	16
9	Goal Orientation	5	19	6	16	9
10	Diplomacy	14	12	22	2	5
11	Management	15	2	10	16	15
12	Negotiation	9	16	18	12	7
13	Presenting	16	13	16	7	10
14	Empathy	23	9	12	9	12
15	Decision Making	11	10	21	19	8
16	Persuasion	21	22	5	1	20
17	Problem Solving	3	15	13	22	17
18	Written Communication	17	20	17	11	6
19	Conflict Management	22	11	23	3	19
20	Futuristic Thinking	8	17	11	20	23
21	Flexibility	1	18	20	23	21
22	Creativity/Innovation	4	20	14	21	22
23	Continuous Learning	12	21	19	14	18

■ Very Important   ▦ Important   ☐ Not Important

Note: Based on the analysis of the responses to the questionnaire, the order of the competencies indicates three levels of importance shown by the average of the group as well as individual rankings. Competencies that are not important should not be emphasized in selection, training and development, performance evaluation, rewards, recognition or succession planning processes aimed at this position. Significant differences between respondents' rankings may indicate a need for clarification.

FIG. 8E

Key Characteristics of The Position

The position has been analyzed relative to four key characteristics. These characteristics are accountability for results, results through people, authority and risk. Based on the responses to the questionnaire, these characteristics have been measured on a sliding scale and are illustrated by a bar graph. The scale range includes none, slight, moderate, significant and major.

Accountability For Results: This characteristic addresses the accountability for producing measurable results in the position. This includes accountability for meeting financial, operations and/or system objectives.

None	Slight	Moderate	Significant	Major
				░░░░

Results through People: This characteristic addresses the emphasis on producing results through the efforts and cooperation of people. This characteristic is not limited to management or leadership positions. Many non-management or leadership positions in team-based organizational structures depend heavily upon the efforts and cooperation of people to produce results.

None	Slight	Moderate	Significant	Major
				░░░░

Authority: This characteristic addresses the level of authority that exists in the position. Evidence of authority can be found in the ability to make decisions or changes without prior approval from upper management. This characteristic is not limited to management or leadership positions. In their efforts to become more responsive, many large organizations are finding it necessary to drive decision-making downward. In these organizations, many positions can be characterized by a moderate to significant amount of authority but are not considered management or leadership.

None	Slight	Moderate	Significant	Major
				░░░░

Risks: This characteristic addresses the inherent level of business risk or liability to the organization that exists in the position. Positions with indications of moderate, significant or major levels of inherent risk or liability to the organization may warrant the use of drug, alcohol and/or other appropriate assessments in their selection and management systems.

None	Slight	Moderate	Significant	Major
				░░░░

FJG. 8f

Work Environment

Behavior

The following is a summary of how position requirements will best be met behaviorally based on the responses to the questionnaire. Describing the work environment in behavioral terms helps people to understand the type of behavior that is most likely to produce superior performance in the position. Aligning an employee's natural behavioral tendencies to the behavioral requirements of the position can create an optimum environment for superior performance.

* Challenging the status quo.

* Innovative.

* Challenge-oriented.

* Forward-looking and future-oriented.

* Building confidence in others.

* Accomplishing goals through people.

* Creative problem solving.

FIG. 86

Work Environment

Attitudes

The following is a summary of the type of person whose interests, attitudes and/or motivations can be satisfied by the intrinsic rewards of the position, based on the responses to the questionnaire. Employees whose interests, attitudes and/or motivations are met through their work naturally perform better than employees who find fulfillment outside of work.

* Future-oriented.

* Goal oriented.

* Motivated by personal achievements and accomplishments.

* Motivated to achieve their maximum potential.

* Working to maintain balance and harmony in all areas of their life.

* Bottom-line oriented.

* Concerned about personal image and the image of the company.

FIG. 8H

SUMMARY OF TOP COMPETENCIES

This report focuses on soft skill competencies because they are usually more difficult to identify or assess than technical competencies or experience. Observing the behaviors people use to produce superior performance can provide insight into the demonstration of competencies. Seven (7) of the most important competencies required to produce superior performance are described below in terms of observable behaviors. The behaviors listed below each competency provide examples of some of the ways the competency is demonstrated. Read each behavior and check the ones that must be demonstrated to produce superior performance in the position. More importance is typically placed on those behaviors that must be demonstrated consistently on a daily, weekly or monthly basis.

1. SELF MANAGEMENT: Demonstrating self control and an ability to manage time and priorities.

   * Effectively manages emotions and impulses.
   * Effectively manages time and priorities to meet deadlines.
   * Presents self assertively.
   * Demonstrates an ability to maintain composure in the midst of crisis.
   * Strives for continuous improvement.
   * Balances personal and professional life.
   * Takes initiative and acts without waiting for direction.
   * Accepts responsibility for actions and results.

2. EMPLOYEE DEVELOPMENT/COACHING: Facilitating and supporting the professional growth of others.

   * Expresses confidence in others' ability to perform.
   * Identifies developmental needs.
   * Encourages initiative and improvement.
   * Provides opportunities for training.
   * Gives new, difficult and/or challenging work assignments.
   * Acknowledges and praises improvements.
   * Trains, coaches and mentors others to develop.
   * Views mistakes as opportunities for learning.
   * Promotes learning and growth.

3. CUSTOMER SERVICE: Anticipating, meeting and/or exceeding customer needs, wants and expectations.

   * Strives to anticipate, identify and understand customers' wants, needs and concerns.
   * Responds to customers with a sense of urgency.
   * Follows through on customer requests.
   * Is patient and courteous with customers.

FIG. 8I

* Resolves issues and complaints to the satisfaction of customers.
* Expends extraordinary effort to satisfy customers.
* Develops relationships with customers.
* Partners with customers to assist them in achieving their objectives.
* Acts as an advocate for customers' needs.
* Takes professional risks for the sake of customers' needs.

4. TEAMWORK: Working effectively and productively with others.

* Respects team members and their individual perspectives.
* Makes team mission and objectives a priority.
* Works toward consensus when team decisions are required.
* Meets agreed-upon deadlines on team assignments and commitments.
* Shares responsibility with team members for successes and failures.
* Keeps team members informed regarding projects.
* Supports team decisions.
* Recognizes and appreciates the contributions of team members.
* Behaves in a manner consistent with team values and mission.
* Provides constructive feedback to team and its members.
* Responds positively to feedback from team members.
* Raises and/or confronts issues limiting team effectiveness.

5. LEADERSHIP: Achieving extraordinary business results through people.

* Inspires others with compelling visions.
* Takes risks for the sake of principles, values or mission.
* Builds trust and demonstrates integrity with a noticeable congruence between words and actions (walks their talk).
* Demonstrates optimism and positive expectations of others.
* Delegates appropriate responsibilities and authority.
* Involves people in decisions that affect them.
* Addresses performance issues promptly, fairly and consistently.
* Adapts methods and approaches to the needs and motivations of others.
* Makes decisions to avoid or mitigate the negative consequences for people.
* Demonstrates loyalty to constituents.

SUMMARY OF TOP COMPETENCIES

6. PERSONAL EFFECTIVENESS: Demonstrating initiative, self confidence, resiliency and a willingness to take responsibility for personal actions.

* Possesses unwavering confidence and belief in personal capabilities.
* Takes initiative and does what ever it takes to achieve goals.
* Projects confidence and self-assurance.
* Bounces back after setbacks.
* Asserts self in personal and professional life.
* Admits mistakes and works to avoid repeating them.
* Accepts personal responsibility for achieving personal and professional goals.
* Functions effectively and achieves results even in adverse circumstances.

7. PLANNING/ORGANIZING: Utilizing logical, systematic and orderly procedures to meet objectives.

* Works effectively within established time frames and priorities.
* Utilizes logical, practical and efficient approaches.
* Prioritizes tasks for optimum productivity.
* Develops procedures, processes and systems for order, accuracy, efficiency and productivity.
* Anticipates probable effects, outcomes and risks.
* Develops contingency plans to minimize waste, error and risk.
* Allocates, adjusts and manages resources according to priorities.
* Monitors implementation of plans and makes adjustments as needed.

FIG. 8K

BEHAVIORAL INTERVIEW QUESTIONS

Studies show that traditional interviewing methods are less than 14% accurate in predicting performance. Properly conducted structured interviewing techniques focused on assessing the competencies most important for superior performance in a position can significantly improve accuracy over traditional interviewing methods.

Behavioral interviewing is a disciplined approach that has been used effectively by corporate America since the 1970s. Behavioral interviewing is based on the premise that past behavior is the best predictor of future behavior. Behavioral interview questions ask for specific examples and experiences from the candidate's past. Interviewers can determine whether or not candidates have actually demonstrated the required competencies by the examples they use.

To plan a structured or behavioral interview, start by reviewing the job description to clarify the most important accountabilities of the position. Then review the list of top seven competencies and determine their relative importance as selection criteria according to which ones are necessary to produce the most important results of the position. Next, review the suggestions for behavioral interview questions and select the ones that seem most appropriate for the position.

The suggested behavioral interview questions relate specifically to the top seven (7) competencies. For most positions, additional questions will need to be developed. Since technical competencies are not a part of the Position Survey, questions relative to technical competencies are not provided in this report. The technical competencies required for superior performance in positions will need to be identified and addressed in selection interviews. A complete interview plan includes the development of appropriate behavioral interview questions relating to both soft skill and technical competencies.

The manual provides a suggested methodology for evaluating candidates by weighting the competencies according to their importance, developing benchmarks for evaluating competency levels and a standardized candidate rating scale. Regardless of the interviewing, evaluation and selection methodologies an organization uses, the same process should be consistently applied with each and every candidate.

FIG-8L

BEHAVIORAL INTERVIEW QUESTIONS

1. SELF MANAGEMENT: Demonstrating self control and an ability to manage time and priorities.

   Listen for composure, assertiveness and emotional stability. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

   * Give me an example of when you were able to meet the personal and professional demands in your life yet still maintained a healthy balance.
   * Describe a situation when you had to exercise a significant amount of self control.
   * Describe a situation when you demonstrated initiative and took action without waiting for direction.
   * What was the outcome?
   * Give me an example of when your ability to manage your time and priorities proved to be an asset.
   * What have you done in the past that demonstrates your commitment to continuous improvement?
   * Give me an example of when you were responsible for an error or mistake.
   * What was the outcome?
   * What, if anything would you do differently?
   * Describe a time when you had to make a difficult choice between your personal and professional life.

2. EMPLOYEE DEVELOPMENT/COACHING: Facilitating and supporting the professional growth of others.

   Listen for a belief in the potential of others and promoting of learning and development. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

   * Describe your personal experience with a mentor or coach.
   * What role have they played in your career development?
   * What training or development activities have you participated in over the last three years?
   * Give me an example of when your mentoring or coaching helped someone develop.
   * What process or approach did you take?
   * What, if any obstacles did you encounter?
   * How did you overcome them?
   * Describe a situation when you gave someone an assignment you knew would be a stretch for them.
   * What was the outcome?

FIG. 8M

* What influence or role have you had in advancing individual and organizational learning?
* Describe a situation when your personal learning and development objectives conflicted with business objectives?
* How did you resolve it?

3. CUSTOMER SERVICE: Anticipating, meeting and/or exceeding customer needs, wants and expectations.

Listen for extraordinary effort in responding to customer needs and wants to insure satisfaction. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of when you went out of your way for a customer.
* What was the outcome?
* Describe the most difficult customer you've ever had to deal with and how you handled them.
* Describe a situation when you were given outstanding customer service.
* What made it stand out?
* Describe a situation when you felt a particularly demanding customer may have been trying to take advantage of you or the organization.
* What was the outcome?
* Give me an example of a situation where you improved the level of customer service in your organization.
* What did you do to improve it?
* What was the outcome?
* Give me an example of when you were given special recognition or acknowledgement for going the extra mile to satisfy a customer.
* Question: Describe a situation when you took a stand for a customer.

4. TEAMWORK: Working effectively and productively with others.

Listen for strong commitment and contributions to team members working towards a specific goal. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of one of the most significant contributions you made as a member of a high performing team.
* What, in your opinion, made it a high performing team?

FIG. 8N

* Describe how you felt about the contributions of the others on the team.
* Give me an example of a situation where you had difficulties with a team member.
* What, if anything, did you do to resolve the difficulties?
* Describe how you felt about a decision the team wanted to make that you didn't agree with. : ˉ
* Describe a situation where the team was having trouble agreeing on a decision and what you did to facilitate consensus.
* Give me an example of when you were on a team that failed to meet its objectives.
* What could the team have done differently?

5. LEADERSHIP: Achieving extraordinary business results through people.

Listen for an ability to obtain the trust, commitment and motivation of others to achieve goals and objectives. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* If you have held a leadership position in the past, draw the organizational chart above and below your position to illustrate the scope of your leadership responsibilities.
* Give me an example of when you inspired people with a vision.
* Tell me about a time when you significantly improved the performance of a group of people who reported directly to you.
* How did you motivate the top performers?
* Did you use the same techniques with the poor performers?
* If not, what did you do differently?
* What actions did you take to improve poor performance?
* Describe your leadership style.
* Tell me about a situation when you were able to maintain the trust and commitment of people after making or implementing a decision that negatively impacted them.
* Give me an example of when you took a significant risk for the sake of a principle, value or mission?
* Describe a situation when you failed to obtain the commitment, dedication and trust of others.
* What, if anything, would you do differently?

6. PERSONAL EFFECTIVENESS: Demonstrating initiative, self confidence, resiliency and a willingness to take responsibility for personal actions.

Listen for a strong sense of self, personal responsibility, courage and resilience. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

FIG. 80

BEHAVIORAL INTERVIEW QUESTIONS

* What do you think has enabled you to meet your goals?
* Give me an example of when you were able to accomplish something others didn't believe you could.
* Why were you able to accomplish it despite the negative opinions of others?
* Describe a time when all indications were that you probably would fail but you still didn't give up.
* What were your feelings during this time?
* Describe a situation when you failed to achieve a professional goal.
* How did you handle it?
* What happened next?
* Describe the lowest point in your career.
* How did you get beyond that point and go forward?

7. PLANNING/ORGANIZING: Utilizing logical, systematic and orderly procedures to meet objectives.

Listen for logical, organized and systematic approaches. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe the most complex assignment or project you've worked on.
* What actions did you take to start the assignment or project?
* What were the most challenging aspects of the assignment or project?
* How did you determine what steps needed to be taken to complete it?
* How did you determine what resources were needed?
* What obstacles did you encounter that you didn't anticipate?
* What could you have done differently?
* Describe a situation when your planning and preparation was a major factor in the success of a project.
* Describe a work situation where your lack of planning and organizing had a negative effect.
* Give me an example of when you were given special recognition or acknowledgement for your attention to detail.

FIG. 8P

Performance DNA International, Ltd.
Position Report

A complete evaluation of the competencies necessary
to achieve superior performance in the position.

Programmer
Target Training International
Development

12/21/99

1048-1603

Prepared by Performance DNA International, Ltd.

/

FIG. 9A

INTRODUCTION

The purpose of this report is to provide insight into the most important performance criteria for the position. Managers or leaders are encouraged to discuss the results of the report with new hires and incumbents to enhance their understanding of performance expectations. The information in this report is particularly valuable to organizations in the following Human Resource activities:

- BUILDING COMPETENCY PROFILES OR MODELS
- DESIGNING PERFORMANCE EVALUATION PROCESSES
- ASSESSING TRAINING AND DEVELOPMENT NEEDS
- DEVELOPING COMPENSATION AND REWARD SYSTEMS
- DESIGNING SUCCESSION PLANNING PROCESSES
- DEVELOPING SELECTION SYSTEMS

Information in the report is based on an objective analysis of data collected from specially selected individuals who understand the position well. Report results reflect a summary of their responses to the Position Survey questionnaire. The report results are generated by a computer analysis of all responses. Hundreds of calculations are performed to determine the key performance criteria of the position. Where there were multiple respondent data, an average composite of all responses is provided.

-Each section of the report is designed to address important aspects of the position. Clarity, understanding and consensus on what competencies are required for superior performance is essential to optimize selection, training and development, performance evaluation, rewards, recognition and succession planning programs. Read each section of the report carefully to gain insight into the most important position requirements.

Research indicates that a specific group of competencies are required to produce superior performance in most positions. This report provides detailed descriptions on seven (7) of the most important competencies required for superior performance in the position. Significant differences in respondent rankings of the competencies indicate a need for clarification. It is recommended that the results of the report be discussed with incumbents and management to obtain consensus before integrating the information into Human Resource processes.

The last section of the report provides samples of behavioral interview questions designed to assist hiring authorities to plan structured selection interviews. The questions provide a framework for comparing candidate competency strengths with the competency requirements of the position. Select the questions that seem most appropriate to the position being analyzed.

FIG. 9B

HIERARCHY OF COMPETENCIES

The competencies required for superior performance have been prioritized based on the analysis of responses to the questionnaire. Where there were multiple respondents to the questionnaire, the list represents a composite average of all responses. The hierarchical order of the competencies represents their relative importance to each other in producing superior performance in the position.

	HIERARCHY OF COMPETENCIES
1	Self Management
2	Problem Solving
3	Creativity/Innovation
4	Continuous Learning
5	Flexibility
6	Goal Orientation
7	Planning/Organizing
8	Interpersonal Skills
9	Teamwork
10	Personal Effectiveness
11	Futuristic Thinking
12	Empathy
13	Written Communication
14	Decision Making
15	Employee Development/Coaching
16	Diplomacy
17	Conflict Management
18	Negotiation
19	Presenting
20	Leadership
21	Management
22	Persuasion
23	Customer Service

■ Very Important ▨ Important ☐ Not Important

FIG. 9C

SUGGESTIONS FOR IMPLEMENTING REPORT RESULTS

Before implementing the information in this report, it is recommended that the respondents meet to verify the results of the report. The hierarchy of competencies should not be accepted at face value as a competency model for the position. The hierarchical order of the competencies represents the relative importance of competencies in relationship to each other. Although competencies are shown in a hierarchy, several competencies may be relatively equal in importance.

Position reports on hundreds of positions confirms that it is more practical to eliminate the competencies that are not important for superior performance than to debate the precise order of the most important competencies. Based on the analysis of the responses to the questionnaire, the competencies noted as not important should not be emphasized in selection, training and development, performance evaluation, rewards, recognition or succession planning processes aimed at this position.

The data on hundreds of positions also confirms that differences in respondent rankings of competencies are common. The information in this report is designed to highlight both the differences as well as the similarities between respondent rankings of competencies.

Differences in competency rankings can be attributed to a number of factors. Some respondents may be high performing incumbents with a thorough understanding of the position, while others may be new to the position.

In some cases, respondents will have a different perspective of the importance of competencies by virtue of their unique relationship to the position. For example, a customer of the position may have a tendency to weight the customer service competency over others.

In cases where a position is being impacted by significant change, the difference in perspectives provides a valuable framework for respondents to create the new behavioral blueprint for success together. Working through the results of the report together, respondents can achieve a new level of understanding about how the demonstration of specific behaviors contributes to the fulfillment of the most important accountabilities and responsibilities in the position.

FIG. 9P

Distribution of Competency Rankings

The distribution of competency rankings illustrates individual differences in responses from multiple respondents to the questionnaire. The hierarchical listing of competencies on the left side of the chart represents the composite ranking of all respondents on each competency. The right side of the chart lists the competency rankings of each individual respondent.

	HIERARCHY OF COMPETENCIES	R1	R2	R3	R4	R5
1	Self Management		1	1		1
2	Problem Solving	5	2			
3	Creativity/Innovation	3		3		
4	Continuous Learning	4				
5	Flexibility	1				
6	Goal Orientation	2				
7	Planning/Organizing					
8	Interpersonal Skills			2		
9	Teamwork					
10	Personal Effectiveness			4	13	
11	Futuristic Thinking		11			19
12	Empathy		16		18	
13	Written Communication		15			14
14	Decision Making		12			18
15	Employee Development/Coaching		22		21	
16	Diplomacy	22	17		19	15
17	Conflict Management	18	20		22	
18	Negotiation	21	14	20	17	16
19	Presenting	20	13	22	16	17
20	Leadership		21		14	21
21	Management	17	19		15	20
22	Persuasion	23	18	21	23	22
23	Customer Service	19	23	23	20	23

■ Very Important   ▨ Important   ☐ Not Important

Note: Based on the analysis of the responses to the questionnaire, the order of the competencies indicates three levels of importance shown by the average of the group as well as individual rankings. Competencies that are not important should not be emphasized in selection, training and development, performance evaluation, rewards, recognition or succession planning processes aimed at this position. Significant differences between respondents' rankings may indicate a need for clarification.

FIG. 9E

Key Characteristics of The Position

The position has been analyzed relative to four key characteristics. These characteristics are accountability for results, results through people, authority and risk. Based on the responses to the questionnaire, these characteristics have been measured on a sliding scale and are illustrated by a bar graph. The scale range includes none, slight, moderate, significant and major.

Accountability For Results: This characteristic addresses the accountability for producing measurable results in the position. This includes accountability for meeting financial, operations and/or system objectives.

None	Slight	Moderate	Significant	Major

Results through People: This characteristic addresses the emphasis on producing results through the efforts and cooperation of people. This characteristic is not limited to management or leadership positions. Many non-management or leadership positions in team-based organizational structures depend heavily upon the efforts and cooperation of people to produce results.

None	Slight	Moderate	Significant	Major

Authority: This characteristic addresses the level of authority that exists in the position. Evidence of authority can be found in the ability to make decisions or changes without prior approval from upper management. This characteristic is not limited to management or leadership positions. In their efforts to become more responsive, many large organizations are finding it necessary to drive decision-making downward. In these organizations, many positions can be characterized by a moderate to significant amount of authority but are not considered management or leadership.

None	Slight	Moderate	Significant	Major

Risks: This characteristic addresses the inherent level of business risk or liability to the organization that exists in the position. Positions with indications of moderate, significant or major levels of inherent risk or liability to the organization may warrant the use of drug, alcohol and/or other appropriate assessments in their selection and management systems.

None	Slight	Moderate	Significant	Major

FIG. 9F

Work Environment

Behavior

The following is a summary of how position requirements will best be met behaviorally based on the responses to the questionnaire. Describing the work environment in behavioral terms helps people to understand the type of behavior that is most likely to produce superior performance in the position. Aligning an employee's natural behavioral tendencies to the behavioral requirements of the position can create an optimum environment for superior performance.

* Persistence to complete tasks.

* Systematic guidelines and a deliberate approach to problem-solving.

* Accuracy and adherence to standards and procedures.

* Limited change or change that is planned, detailed and organized.

* Weighing pros and cons before making decisions.

* Adherence to safety rules.

* High standards and time to achieve them.

* Time to complete the task right the first time.

* Working alone or with a small team.

FIG. 9G

Work Environment

Attitudes

The following is a summary of the type of person whose interests, attitudes and/or motivations can be satisfied by the intrinsic rewards of the position, based on the responses to the questionnaire. Employees whose interests, attitudes and/or motivations are met through their work naturally perform better than employees who find fulfillment outside of work.

* Integrates past and present knowledge into the future.

* Is results oriented.

* Prefers structured economic dealings.

* Uses knowledge to design efficient systems and eliminate waste.

* Desires to be rewarded for individual expertise and results.

* Wants an opportunity to continuously learn and advance knowledge.

* Gathers data to formulate theories and strategies.

* Is bottom-line oriented.

FIG. 9H

SUMMARY OF TOP COMPETENCIES

This report focuses on soft skill competencies because they are usually more difficult to identify or assess than technical competencies or experience. Observing the behaviors people use to produce superior performance can provide insight into the demonstration of competencies. Seven (7) of the most important competencies required to produce superior performance are described below in terms of observable behaviors. The behaviors listed below each competency provide examples of some of the ways the competency is demonstrated. Read each behavior and check the ones that must be demonstrated to produce superior performance in the position. More importance is typically placed on those behaviors that must be demonstrated consistently on a daily, weekly or monthly basis.

1. SELF MANAGEMENT: Demonstrating self control and an ability to manage time and priorities.

   * Effectively manages emotions and impulses.
   * Effectively manages time and priorities to meet deadlines.
   * Presents self assertively.
   * Demonstrates an ability to maintain composure in the midst of crisis.
   * . Strives for continuous improvement.
   * Balances personal and professional life.
   * Takes initiative and acts without waiting for direction.
   * Accepts responsibility for actions and results.

2. PROBLEM SOLVING: Anticipating, analyzing, diagnosing and resolving problems.

   * Anticipates, identifies and resolves problems or obstacles.
   * Utilizes logic and systematic processes to analyze and solve problems.
   * Defines the causes, effects, impact and scope of problems.
   * Identifies the multiple components of problems and their relationships.
   * Prioritizes steps to solution.
   * Develops criteria for optimum solutions.
   * Evaluates the potential impact of possible solutions and selects the best one.

3. CREATIVITY/INNOVATION: Adapting traditional or devising new approaches, concepts, methods, models, designs, processes, technologies and/or systems.

   * Notices unique patterns, variables, processes, systems or relationships.
   * Expresses non-traditional perspectives and/or novel approaches.
   * Synthesizes and/or simplifies data, ideas, models, processes or systems.
   * Challenges established theories, methods and/or protocols.
   * Encourages and promotes creativity and innovation.
   * Modifies existing concepts, methods, models, designs, processes, technologies and systems.

FIG. 9I

SUMMARY OF TOP COMPETENCIES

* Develops and tests new theories to explain or resolve complex issues.
* Applies unorthodox theories and/or methods.
* Imagines new or revolutionary concepts, methods, models, designs, processes, technology, systems, products, services or industries.

4. CONTINUOUS LEARNING: Taking initiative in learning and implementing new concepts, technologies and/or methods.

* Demonstrates curiosity and enthusiasm for learning.
* Takes initiative in acquiring and mastering the skills and knowledge requirements of a position.
* Keeps abreast of current or new information through reading and other learning methods.
* Actively interested in new technologies, processes and methods.
* Welcomes or seeks assignments requiring new skills and knowledge.
* Expends considerable effort and/or expense on learning.
* Genuinely enjoys learning.
* Identifies applications for knowledge.
* Is considered a knowledgeable resource by others.

5. FLEXIBILITY: Agility in adapting to change.

* Responds promptly to shifts in direction, priorities and schedules.
* Demonstrates agility in accepting new ideas, approaches and/or methods.
* Effective in juggling multiple priorities and tasks.
* Modifies methods or strategies to fit changing circumstances.
* Adapts personal style to work with different people.
* Maintains productivity during transitions, even in the midst of chaos.
* Embraces and/or champions change.

6. GOAL ORIENTATION: Energetically focusing efforts on meeting a goal, mission or objective.

* Acts independently to achieve objectives without supervision.
* Expends the necessary time and effort to achieve goals.
* Recognizes and acts on opportunities to advance progress towards meeting goals.
* Establishes and works toward ambitious and challenging goals.
* Develops and implements strategies to meet objectives.
* Measures effectiveness and performance to ensure results are attained.
* Acts with a sense of urgency to achieve goals.

FIG. 9J

SUMMARY OF TOP COMPETENCIES

* Demonstrates persistence in overcoming obstacles to meet objectives.
* Takes calculated risks to achieve results.

7. PLANNING/ORGANIZING: Utilizing logical, systematic and orderly procedures to meet objectives.

* Works effectively within established time frames and priorities.
* Utilizes logical, practical and efficient approaches.
* Prioritizes tasks for optimum productivity.
* Develops procedures, processes and systems for order, accuracy, efficiency and productivity.
* Anticipates probable effects, outcomes and risks.
* Develops contingency plans to minimize waste, error and risk.
* Allocates, adjusts and manages resources according to priorities.
* Monitors implementation of plans and makes adjustments as needed.

FIG. 9K

BEHAVIORAL INTERVIEW QUESTIONS

Studies show that traditional interviewing methods are less than 14% accurate in predicting performance. Properly conducted structured interviewing techniques focused on assessing the competencies most important for superior performance in a position can significantly improve accuracy over traditional interviewing methods.

Behavioral interviewing is a disciplined approach that has been used effectively by corporate America since the 1970s. Behavioral interviewing is based on the premise that past behavior is the best predictor of future behavior. Behavioral interview questions ask for specific examples and experiences from the candidate's past. Interviewers can determine whether or not candidates have actually demonstrated the required competencies by the examples they use.

To plan a structured or behavioral interview, start by reviewing the job description to clarify the most important accountabilities of the position. Then review the list of top seven competencies and determine their relative importance as selection criteria according to which ones are necessary to produce the most important results of the position. Next, review the suggestions for behavioral interview questions and select the ones that seem most appropriate for the position.

The suggested behavioral interview questions relate specifically to the top seven (7) competencies. For most positions, additional questions will need to be developed. Since technical competencies are not a part of the Position Survey, questions relative to technical competencies are not provided in this report. The technical competencies required for superior performance in positions will need to be identified and addressed in selection interviews. A complete interview plan includes the development of appropriate behavioral interview questions relating to both soft skill and technical competencies.

The manual provides a suggested methodology for evaluating candidates by weighting the competencies according to their importance, developing benchmarks for evaluating competency levels and a standardized candidate rating scale. Regardless of the interviewing, evaluation and selection methodologies an organization uses, the same process should be consistently applied with each and every candidate.

FIG. 9L

BEHAVIORAL INTERVIEW QUESTIONS

1. **SELF MANAGEMENT:** Demonstrating self control and an ability to manage time and priorities.

    Listen for composure, assertiveness and emotional stability. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

    * Give me an example of when you were able to meet the personal and professional demands in your life yet still maintained a healthy balance.
    * Describe a situation when you had to exercise a significant amount of self control.
    * Describe a situation when you demonstrated initiative and took action without waiting for direction.
    * What was the outcome?
    * Give me an example of when your ability to manage your time and priorities proved to be an asset.
    * What have you done in the past that demonstrates your commitment to continuous improvement?
    * Give me an example of when you were responsible for an error or mistake.
    * What was the outcome?
    * What, if anything would you do differently?
    * Describe a time when you had to make a difficult choice between your personal and professional life.

2. **PROBLEM SOLVING:** Anticipating, analyzing, diagnosing and resolving problems.

    Listen for an analytical and disciplined approach to solving problems. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

    * Describe a situation when you anticipated a problem.
    * What, if anything did you do about it?
    * Give me an example of when your diagnosis of a problem proved to be correct.
    * What approach did you take to diagnose the problem?
    * What was the outcome?
    * Describe the most difficult work problem you've ever encountered.
    * What made it difficult?
    * What steps did you take towards developing a solution?
    * What factors did you consider in evaluating solutions?
    * What solution was implemented and how successful was it in solving the problem?

FIG. 9M

BEHAVIORAL INTERVIEW QUESTIONS

3. CREATIVITY/INNOVATION: Adapting traditional or devising new approaches, concepts, methods, models, designs, processes, technologies and/or systems.

Listen for "out-of-the-box" thinking and unusual approaches. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe a work situation when you adapted a concept, design, process or system to meet a need.
* How did you go about it?
* Describe a work situation when you took an unusual or non-traditional approach to get results.
* What made your approach so unusual?
* Why did you take that approach?
* How did others respond to your approach?
* What was the outcome?
* What, if anything, would you do differently?
* Give me an example of when you were given special recognition for a new idea, method or process that improved results.

4. CONTINUOUS LEARNING: Taking initiative in learning and implementing new concepts, technologies and/or methods.

Listen for positive attitude towards self-improvement, learning and the application of knowledge. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* How do you keep current on what's going on in your field?
* What books and magazines you have read or classes you have taken to keep abreast of what's new in your field?
* What was the last book you read?
* What learning activities have you been involved with since College/High School?
* Give me an example of when you were able to apply a concept, theory or knowledge to a work problem or situation.
* Describe how something you learned made a significant difference in your career.
* Give me an example of when you did not know enough about something to be effective.
* What did you do about it?
* In what ways have you invested in yourself to improve your performance?
* What self-improvement activities are you currently involved in?
* Give me an example that illustrates how other people have used you as a resource for knowledge in your field.

FIG 9N

* What do you want to learn before you die?

5. FLEXIBILITY: Agility in adapting to change.

Listen for a positive attitude towards lots of activity, multi-tasking and change, in general. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of when you were forced to change priorities or direction.
* How did you feel when you were first confronted with this change?
* Describe a time when there was an extraordinary amount of activity at work.
* How did you handle it?
* Describe a situation when you were the author or architect of a change.
* What were the barriers to implementing the change and how did you get beyond them?
* . How did you get buy-in from others?
* What was the outcome?
* Give me an example of when you were one of the first to get on board when a major change was introduced.
* Describe a situation when you were given special recognition or acknowledgement for your ability to adapt quickly to a change.

6. GOAL ORIENTATION: Energetically focusing efforts on meeting a goal, mission or objective.

Listen for determination, persistence and a "never-give-up" attitude in efforts to meet goals. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of the most significant professional goal you have met.
* How did you achieve it?
* What were the obstacles?
* How did you overcome them?
* Give me an example of when you took a risk to achieve a goal.
* What was the outcome?
* What are your future professional goals?
* How do you plan to achieve them?
* What might keep you from achieving them?
* . Tell me about a time when you overcame great obstacles to achieve something significant.

BEHAVIORAL INTERVIEW QUESTIONS

* Give me an example of when you achieved something by your persistence that others couldn't.

7. PLANNING/ORGANIZING: Utilizing logical, systematic and orderly procedures to meet objectives.

Listen for logical, organized and systematic approaches. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe the most complex assignment or project you've worked on.
* What actions did you take to start the assignment or project?
* What were the most challenging aspects of the assignment or project?
* How did you determine what steps needed to be taken to complete it?
* How did you determine what resources were needed?
* What obstacles did you encounter that you didn't anticipate?
* What could you have done differently?
* Describe a situation when your planning and preparation was a major factor in the success of a project.
* Describe a work situation where your lack of planning and organizing had a negative effect.
* Give me an example of when you were given special recognition or acknowledgement for your attention to detail.

FIG 9P

Performance DNA International, Ltd.
Position Report

A complete evaluation of the competencies necessary
to achieve superior performance in the position.

Customer Service
Target Training International
Support

12/21/99

1049-0788

Prepared by Performance DNA International, Ltd.

FIG. 10A

INTRODUCTION

The purpose of this report is to provide insight into the most important performance criteria for the position. Managers or leaders are encouraged to discuss the results of the report with new hires and incumbents to enhance their understanding of performance expectations. The information in this report is particularly valuable to organizations in the following Human Resource activities:

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Research indicates that a specific group of competencies are required to produce superior performance in most positions. This report provides detailed descriptions on seven (7) of the most important competencies required for superior performance in the position. Significant differences in respondent rankings of the competencies indicate a need for clarification. It is recommended that the results of the report be discussed with incumbents and management to obtain consensus before integrating the information into Human Resource processes.

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HIERARCHY OF COMPETENCIES

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	HIERARCHY OF COMPETENCIES
1	Interpersonal Skills
2	Teamwork
3	Self Management
4	Goal Orientation
5	Empathy
6	Customer Service
7	Problem Solving
8	Creativity/Innovation
9	Continuous Learning
10	Flexibility
11	Planning/Organizing
12	Employee Development/Coaching
13	Diplomacy
14	Negotiation
15	Personal Effectiveness
16	Persuasion
17	Conflict Management
18	Written Communication
19	Decision Making
20	Presenting
21	Management
22	Futuristic Thinking
23	Leadership

■ Very Important ▨ Important ☐ Not Important

FIG. 10C

SUGGESTIONS FOR IMPLEMENTING REPORT RESULTS

Before implementing the information in this report, it is recommended that the respondents meet to verify the results of the report. The hierarchy of competencies should not be accepted at face value as a competency model for the position. The hierarchical order of the competencies represents the relative importance of competencies in relationship to each other. Although competencies are shown in a hierarchy, several competencies may be relatively equal in importance.

Position reports on hundreds of positions confirms that it is more practical to eliminate the competencies that are not important for superior performance than to debate the precise order of the most important competencies. Based on the analysis of the responses to the questionnaire, the competencies noted as not important should not be emphasized in selection, training and development, performance evaluation, rewards, recognition or succession planning processes aimed at this position.

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Differences in competency rankings can be attributed to a number of factors. Some respondents may be high performing incumbents with a thorough understanding of the position, while others may be new to the position.

In some cases, respondents will have a different perspective of the importance of competencies by virtue of their unique relationship to the position. For example, a customer of the position may have a tendency to weight the customer service competency over others.

In cases where a position is being impacted by significant change, the difference in perspectives provides a valuable framework for respondents to create the new behavioral blueprint for success together. Working through the results of the report together, respondents can achieve a new level of understanding about how the demonstration of specific behaviors contributes to the fulfillment of the most important accountabilities and responsibilities in the position.

Distribution of Competency Rankings

The distribution of competency rankings illustrates individual differences in responses from multiple respondents to the questionnaire. The hierarchical listing of competencies on the left side of the chart represents the composite ranking of all respondents on each competency. The right side of the chart lists the competency rankings of each individual respondent.

	HIERARCHY OF COMPETENCIES	R1	R2	R3	R4	R5
1	Interpersonal Skills		2	2	1	5
2	Teamwork	1	7	3		2
3	Self Management			1		1
4	Goal Orientation	2	1	5		
5	Empathy		3		2	
6	Customer Service			4		4
7	Problem Solving		4			3
8	Creativity/Innovation		5			
9	Continuous Learning					
10	Flexibility					
11	Planning/Organizing				16	
12	Employee Development/Coaching		6			
13	Diplomacy					
14	Negotiation				15	
15	Personal Effectiveness				18	
16	Persuasion	20			19	
17	Conflict Management					
18	Written Communication					19
19	Decision Making	22			21	
20	Presenting				17	20
21	Management	23			22	21
22	Futuristic Thinking				20	23
23	Leadership	21			23	22

■ Very Important   ▨ Important   ☐ Not Important

Note: Based on the analysis of the responses to the questionnaire, the order of the competencies indicates three levels of importance shown by the average of the group as well as individual rankings. Competencies that are not important should not be emphasized in selection, training and development, performance evaluation, rewards, recognition or succession planning processes aimed at this position. Significant differences between respondents' rankings may indicate a need for clarification.

FIG. 10E

Key Characteristics of The Position

The position has been analyzed relative to four key characteristics. These characteristics are accountability for results, results through people, authority and risk. Based on the responses to the questionnaire, these characteristics have been measured on a sliding scale and are illustrated by a bar graph. The scale range includes none, slight, moderate, significant and major.

Accountability For Results: This characteristic addresses the accountability for producing measurable results in the position. This includes accountability for meeting financial, operations and/or system objectives.

None	Slight	Moderate	Significant	Major

Results through People: This characteristic addresses the emphasis on producing results through the efforts and cooperation of people. This characteristic is not limited to management or leadership positions. Many non-management or leadership positions in team-based organizational structures depend heavily upon the efforts and cooperation of people to produce results.

None	Slight	Moderate	Significant	Major

Authority: This characteristic addresses the level of authority that exists in the position. Evidence of authority can be found in the ability to make decisions or changes without prior approval from upper management. This characteristic is not limited to management or leadership positions. In their efforts to become more responsive, many large organizations are finding it necessary to drive decision-making downward. In these organizations, many positions can be characterized by a moderate to significant amount of authority but are not considered management or leadership.

None	Slight	Moderate	Significant	Major

Risks: This characteristic addresses the inherent level of business risk or liability to the organization that exists in the position. Positions with indications of moderate, significant or major levels of inherent risk or liability to the organization may warrant the use of drug, alcohol and/or other appropriate assessments in their selection and management systems.

None	Slight	Moderate	Significant	Major

FIG. 10F

Work Environment

Behavior

The following is a summary of how position requirements will best be met behaviorally based on the responses to the questionnaire. Describing the work environment in behavioral terms helps people to understand the type of behavior that is most likely to produce superior performance in the position. Aligning an employee's natural behavioral tendencies to the behavioral requirements of the position can create an optimum environment for superior performance.

* Sensitivity to changes in social and work environment.

* Peoples feelings more important than results.

* Goodwill, diplomacy and the ability to get along with strangers.

* Negotiating people conflicts or solving people problems.

* Optimistic outlook toward all activities, including many social interactions.

* Flexible use of time.

* A public relations approach over a sales approach.

* Concerned about how others feel.

FIG. 10G

Work Environment

Attitudes

The following is a summary of the type of person whose interests, attitudes and/or motivations can be satisfied by the intrinsic rewards of the position, based on the responses to the questionnaire. Employees whose interests, attitudes and/or motivations are met through their work naturally perform better than employees who find fulfillment outside of work.

* Invests time, talent and resources in helping others gain knowledge.

* Has an ability to research and understand complex social problems.

* Is able to formulate theories and solve problems.

* Uses knowledge to achieve mutually beneficial negotiations.

* Works hard to achieve consistency and fairness regarding all people.

* Is a team player.

* Is motivated by new opportunities for learning and advancement of knowledge.

FIG. 10H

SUMMARY OF TOP COMPETENCIES

This report focuses on soft skill competencies because they are usually more difficult to identify or assess than technical competencies or experience. Observing the behaviors people use to produce superior performance can provide insight into the demonstration of competencies. Seven (7) of the most important competencies required to produce superior performance are described below in terms of observable behaviors. The behaviors listed below each competency provide examples of some of the ways the competency is demonstrated. Read each behavior and check the ones that must be demonstrated to produce superior performance in the position. More importance is typically placed on those behaviors that must be demonstrated consistently on a daily, weekly or monthly basis.

1. **INTERPERSONAL SKILLS:** Effectively communicating, building rapport and relating well to all kinds of people.

   * Strives for self-awareness.
   * Demonstrates sincere interest in others.
   * Treats all people with respect, courtesy and consideration.
   * Respects differences in the attitudes and perspectives of others.
   * Listens, observes and strives to gain understanding of others.
   * Communicates effectively.
   * Sensitive to diversity issues.
   * Develops and maintains relationships with many different kinds of people regardless of cultural differences.

2. **TEAMWORK:** Working effectively and productively with others.

   * Respects team members and their individual perspectives.
   * Makes team mission and objectives a priority.
   * Works toward consensus when team decisions are required.
   * Meets agreed-upon deadlines on team assignments and commitments.
   * Shares responsibility with team members for successes and failures.
   * Keeps team members informed regarding projects.
   * Supports team decisions.
   * Recognizes and appreciates the contributions of team members.
   * Behaves in a manner consistent with team values and mission.
   * Provides constructive feedback to team and its members.
   * Responds positively to feedback from team members.
   * Raises and/or confronts issues limiting team effectiveness.

FIG. 103

SUMMARY OF TOP COMPETENCIES

3. SELF MANAGEMENT: Demonstrating self control and an ability to manage time and priorities.

   * Effectively manages emotions and impulses.
   * Effectively manages time and priorities to meet deadlines.
   * Presents self assertively.
   * Demonstrates an ability to maintain composure in the midst of crisis.
   * Strives for continuous improvement.
   * Balances personal and professional life.
   * Takes initiative and acts without waiting for direction.
   * Accepts responsibility for actions and results.

4. GOAL ORIENTATION: Energetically focusing efforts on meeting a goal, mission or objective.

   * Acts independently to achieve objectives without supervision.
   * Expends the necessary time and effort to achieve goals.
   * Recognizes and acts on opportunities to advance progress towards meeting goals.
   * Establishes and works toward ambitious and challenging goals.
   * Develops and implements strategies to meet objectives.
   * Measures effectiveness and performance to ensure results are attained.
   * Acts with a sense of urgency to achieve goals.
   * Demonstrates persistence in overcoming obstacles to meet objectives.
   * Takes calculated risks to achieve results.

5. EMPATHY: Identifying with and caring about others.

   * Demonstrates genuine concern for others.
   * Respects and values people.
   * Perceives and is sensitive to the emotions people experience.
   * Expends considerable effort to understand the real needs, concerns and feelings of others.
   * Advocates for the interests, needs and wants of others.
   * Demonstrates cross-cultural sensitivity and understanding.
   * Takes personal and/or professional risks for the sake of others.

FIG. 10J

SUMMARY OF TOP COMPETENCIES

6. CUSTOMER SERVICE: Anticipating, meeting and/or exceeding customer needs, wants and expectations.

   * Strives to anticipate, identify and understand customers' wants, needs and concerns.
   * Responds to customers with a sense of urgency.
   * Follows through on customer requests.
   * Is patient and courteous with customers.
   * Resolves issues and complaints to the satisfaction of customers.
   * Expends extraordinary effort to satisfy customers.
   * Develops relationships with customers.
   * Partners with customers to assist them in achieving their objectives.
   * Acts as an advocate for customers' needs.
   * Takes professional risks for the sake of customers' needs.

7. PROBLEM SOLVING: Anticipating, analyzing, diagnosing and resolving problems.

   * Anticipates, identifies and resolves problems or obstacles.
   * Utilizes logic and systematic processes to analyze and solve problems.
   * Defines the causes, effects, impact and scope of problems.
   * Identifies the multiple components of problems and their relationships.
   * Prioritizes steps to solution.
   * Develops criteria for optimum solutions.
   * Evaluates the potential impact of possible solutions and selects the best one.

FIG. 10K

BEHAVIORAL INTERVIEW QUESTIONS

Studies show that traditional interviewing methods are less than 14% accurate in predicting performance. Properly conducted structured interviewing techniques focused on assessing the competencies most important for superior performance in a position can significantly improve accuracy over traditional interviewing methods.

Behavioral interviewing is a disciplined approach that has been used effectively by corporate America since the 1970s. Behavioral interviewing is based on the premise that past behavior is the best predictor of future behavior. Behavioral interview questions ask for specific examples and experiences from the candidate's past. Interviewers can determine whether or not candidates have actually demonstrated the required competencies by the examples they use.

To plan a structured or behavioral interview, start by reviewing the job description to clarify the most important accountabilities of the position. Then review the list of top seven competencies and determine their relative importance as selection criteria according to which ones are necessary to produce the most important results of the position. Next, review the suggestions for behavioral interview questions and select the ones that seem most appropriate for the position.

The suggested behavioral interview questions relate specifically to the top seven (7) competencies. For most positions, additional questions will need to be developed. Since technical competencies are not a part of the Position Survey, questions relative to technical competencies are not provided in this report. The technical competencies required for superior performance in positions will need to be identified and addressed in selection interviews. A complete interview plan includes the development of appropriate behavioral interview questions relating to both soft skill and technical competencies.

The manual provides a suggested methodology for evaluating candidates by weighting the competencies according to their importance, developing benchmarks for evaluating competency levels and a standardized candidate rating scale. Regardless of the interviewing, evaluation and selection methodologies an organization uses, the same process should be consistently applied with each and every candidate.

FIG. 10L

BEHAVIORAL INTERVIEW QUESTIONS

1. **INTERPERSONAL SKILLS:** Effectively communicating, building rapport and relating well to all kinds of people.

   Listen for self awareness, understanding and an ability to communicate effectively with others regardless of differences. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

   * Describe the most difficult working relationship you've had with an individual.
   * What specific actions did you take to improve the relationship?
   * What was the outcome?
   * Describe the types of people you get along with best and why.
   * Describe the types of people you have difficulty getting along with and why.
   * Give me an example of a situation when you demonstrated sensitivity to diversity issues.
   * Describe a situation when you were able to strengthen a relationship by communicating effectively.
   * · What made your communication effective?
   * Describe your relationship with the people you work with.
   * What have you done in the past to build rapport and relationships with people?
   * Give me an example of your ability to communicate effectively and build relationships with people regardless of cultural differences.
   * Describe how your ability to communicate effectively and build relationships with many different types of people has contributed to one of your greatest accomplishments.

2. **TEAMWORK:** Working effectively and productively with others.

   Listen for strong commitment and contributions to team members working towards a specific goal. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

   * Give me an example of one of the most significant contributions you made as a member of a high performing team.
   * What, in your opinion, made it a high performing team?
   * Describe how you felt about the contributions of the others on the team.
   * Give me an example of a situation where you had difficulties with a team member.
   * What, if anything, did you do to resolve the difficulties?
   * Describe how you felt about a decision the team wanted to make that you didn't agree with.
   * Describe a situation where the team was having trouble agreeing on a decision and what you did to facilitate consensus.
   * Give me an example of when you were on a team that failed to meet its objectives.

FIG. 10M

BEHAVIORAL INTERVIEW QUESTIONS

* What could the team have done differently?

3. SELF MANAGEMENT: Demonstrating self control and an ability to manage time and priorities.

Listen for composure, assertiveness and emotional stability. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of when you were able to meet the personal and professional demands in your life yet still maintained a healthy balance.
* Describe a situation when you had to exercise a significant amount of self control.
* Describe a situation when you demonstrated initiative and took action without waiting for direction.
* What was the outcome?
* Give me an example of when your ability to manage your time and priorities proved to be an asset.
* What have you done in the past that demonstrates your commitment to continuous improvement?
* Give me an example of when you were responsible for an error or mistake.
* What was the outcome?
* What, if anything would you do differently?
* Describe a time when you had to make a difficult choice between your personal and professional life.

4. GOAL ORIENTATION: Energetically focusing efforts on meeting a goal, mission or objective.

Listen for determination, persistence and a "never-give-up" attitude in efforts to meet goals. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of the most significant professional goal you have met.
* How did you achieve it?
* What were the obstacles?
* How did you overcome them?
* Give me an example of when you took a risk to achieve a goal.
* What was the outcome?
* What are your future professional goals?

FIG. 10N

* How do you plan to achieve them?
* What might keep you from achieving them?
* Tell me about a time when you overcame great obstacles to achieve something significant.
* Give me an example of when you achieved something by your persistence that others couldn't.

5. EMPATHY: Identifying with and caring about others.

Listen for genuine caring, compassion and initiative in assisting others without expectations of rewards. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of when you identified with someone else's difficulties at work.
* · What, if anything, did you do to help them?
* Give me an example of a time when a company policy or action hurt people.
* What, if anything did you do to mitigate the negative consequences to people?
* Give me an example of when you went out of your way to help someone.
* What were your thoughts and feelings about that situation?
* Give me an example of when you had to make a decision in favor of your own self-interest or someone else's.
* What were your thoughts and feelings?
* What did you do?
* What positive contributions have you made to your community or society?
* Give me an example of when you were given special recognition or acknowledgement for your contributions to the disadvantaged.
* Describe a situation when you were criticized for being too concerned about the difficulties of others.

6. CUSTOMER SERVICE: Anticipating, meeting and/or exceeding customer needs, wants and expectations.

Listen for extraordinary effort in responding to customer needs and wants to insure satisfaction. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Give me an example of when you went out of your way for a customer.
* What was the outcome?
* Describe the most difficult customer you've ever had to deal with and how you handled them.

FIG. 100

BEHAVIORAL INTERVIEW QUESTIONS

* Describe a situation when you were given outstanding customer service.
* What made it stand out?
* Describe a situation when you felt a particularly demanding customer may have been trying to take advantage of you or the organization.
* What was the outcome?
* Give me an example of a situation where you improved the level of customer service in your organization.
* What did you do to improve it?
* What was the outcome?
* Give me an example of when you were given special recognition or acknowledgement for going the extra mile to satisfy a customer.
* Question: Describe a situation when you took a stand for a customer.

7. PROBLEM SOLVING: Anticipating, analyzing, diagnosing and resolving problems.

Listen for an analytical and disciplined approach to solving problems. Be sure to probe for as many details and specifics as possible such as names, dates and other verifiable information. Skilled interviewers will also ask candidates for their thoughts or feelings about a situation to gain further insight.

* Describe a situation when you anticipated a problem.
* What, if anything did you do about it?
* Give me an example of when your diagnosis of a problem proved to be correct.
* What approach did you take to diagnose the problem?
* What was the outcome?
* Describe the most difficult work problem you've ever encountered.
* What made it difficult?
* What steps did you take towards developing a solution?
* What factors did you consider in evaluating solutions?
* What solution was implemented and how successful was it in solving the problem?

Competency Report Debriefing

Customer Receives Report — 90

Customer Reviews Report — 92

Disparity on Respondents Rankings — 94

Meet With Respondents — 96

Review Definitions of Competencies — 98

Agree on Competencies — 100

Meet With Respondents — 124

Repeat Process — 126

Print Consensus Report — 128

Compare Competencies to Job Description — 114

Highlight Differences — 116

Print Interview Forms — 102

List 5 Competencies on Interview Form — 104

Weigh the Competencies — 106

Alter Job Description — 118

Alter Job Description — 130

Select 1st Interview Questions — 10i

Select 2nd Interview Questions — 110

Finalize Job Description — 120

Plan Future Process — 122

Plan Interview Process — 112

FIG. 11

36   DNA FC1-8/25/99

A computerized analysis of your responses to the PCI will result in a profile of your competency strengths. Your competency strengths will be matched to the competency requirements of positions. You will be contacted by e-mail if your competency strengths match the requirements of any positions. Your PCI results will be available to hiring authorities.

As tempting as it may be to portray yourself as having more strengths than you do, the best career management strategy is to represent yourself as accurately as you can. The best employment situation is one in which your true talents fit the requirements of the position. Today's most marketable candidates know their strengths as well as their limitations.

To give yourself the best chance for a good fit between your strengths and position requirements, you must respond honestly. You may be asked to defend any strengths indicated by your responses to the PCI during subsequent interviews.

The PCI has three separate response sections. Please read the directions for each section before completing it. Section One lists word-sets that others have used to describe your behavior in the workplace. Section Two lists statements that describe feelings you have about work issues. Section Three lists statements that relate to competencies.

FIG 12A

Click on the word-sets that others would use to describe your behavior in the workplace. Take care that you don't select too many or too few word-sets. Selecting too many or too few word-sets could invalidate the results of your profile. An average of 7-10 word-sets usually provides an accurate description of a person's work behavior. You should be prepared to provide more detail on your word-set selections during interviews.

1. ____ Charismatic/Personal Magnetism
2. ____ Mentor/Facilitator
3. ____ Cooperative/Team-player
4. ____ Mediator/Arbitrator
5. ____ Personable/Sociable
6. ____ Problem Solver/Inquisitive
7. ____ Imaginative/Creative
8. ____ Writer/Editor
9. ____ Helpful/Supportive
10. ____ Adaptable/Open Minded
11. ____ Tenacious/Motivated

12. ____ Organized/Structured
13. ____ Diplomatic/Tactful
14. ____ Resilient/Courageous
15. ____ Speaker/Presenter
16. ____ Take Charge/Controlling
17. ____ Negotiator/Mediator
18. ____ Convincing/Persuasive
19. ____ Caring/Compassionate
20. ____ Curious/Learner
21. ____ Visionary/Entrepreneurial
22. ____ Decisive/Certain
23. ____ Self Controlled/Composed

PIG 12B

The following statements describe feelings you may or may not have about work issues. You should be prepared to explain your responses to these statements during interviews. Please click on 1, 2 or 3 to indicate whether you:

1) Disagree with the statement.
2) Have no opinion about the statement.
3) Agree with the statement.

1. I know what I want and I usually get it. *(P11)*

Disagree	No Opinion	Agree
1	2	3

2. I usually need more time than most people to adjust to changes. *(K10)*

Disagree	No Opinion	Agree
1	2	3

3. I enjoy speaking to large groups. *(P15)*

Disagree	No Opinion	Agree
1	2	3

4. It's difficult for me to influence the outcome of discussions. *(K18)*

Disagree	No Opinion	Agree
1	2	3

5. I like going out of my way to help others get their needs met. *(P9)*

Disagree	No Opinion	Agree
1	2	3

6. I'm not very good at dealing with deadlines. *(K11)*

Disagree	No Opinion	Agree
1	2	3

7. I prefer structure in my work. *(K10)*

Disagree	No Opinion	Agree
1	2	3

8. I would not want the responsibility of getting others to work towards goals, especially if it involved risk. *(K1)*

Disagree	No Opinion	Agree
1	2	3

9. I believe results are more important than the process used to obtain them. *(P16)*

Disagree	No Opinion	Agree
1	2	3

FIG 12C

10. It bothers me when I see others passing up opportunities to learn.

Disagree	No Opinion	Agree
1	2	3

11. Too much competition upsets me.

Disagree	No Opinion	Agree
1	2	3

12. I like to plan my work very carefully before starting.

Disagree	No Opinion	Agree
1	2	3

13. I prefer working alone.

Disagree	No Opinion	Agree
1	2	3

14. People spend far too much time dreaming about the future instead of solving today's problems.

Disagree	No Opinion	Agree
1	2	3

15. I have difficulty making quick decisions.

Disagree	No Opinion	Agree
1	2	3

16. I don't like haggling over prices.

Disagree	No Opinion	Agree
1	2	3

17. I have difficulty putting my thoughts in writing.

Disagree	No Opinion	Agree
1	2	3

18. Demanding customers irritate me.

Disagree	No Opinion	Agree
1	2	3

19. I prefer to be evaluated on my results rather than my methods.

Disagree	No Opinion	Agree
1	2	3

20. I prefer a tried and true approach.

Disagree	No Opinion	Agree
1	2	3

FIG 12D

21. One thing I am very good at is spontaneity.

(K12)

Disagree	No Opinion	Agree
1	2	3

22. It really bothers me when people say things that are obviously politically incorrect.

(P13)

Disagree	No Opinion	Agree
1	2	3

23. I feel that people on welfare are just looking for a handout.

(K19)

Disagree	No Opinion	Agree
1	2	3

24. One of my greatest fears is getting up in front of a group of people and speaking.

(K15)

Disagree	No Opinion	Agree
1	2	3

25. I am grateful for my failures because they have been some of my best learning experiences.

(P14)

Disagree	No Opinion	Agree
1	2	3

26. Too often old traditions are discarded in favor of untested ideas.

(K21)

Disagree	No Opinion	Agree
1	2	3

27. I would rather wait for someone else to take the lead.

(K1)

Disagree	No Opinion	Agree
1	2	3

28. Far too much emphasis is placed on learning new things when there is so much work to do.

(K2)

Disagree	No Opinion	Agree
1	2	3

29. I go out of my way to avoid conflict.

(K4)

Disagree	No Opinion	Agree
1	2	3

30. Meeting new people is hard for me.

(K5)

Disagree	No Opinion	Agree
1	2	3

31. I rely on my instincts to solve problems.

(K6)

Disagree	No Opinion	Agree
1	2	3

FIGURE

32. I am not known for being creative or inventive.

Disagree	No Opinion	Agree
1	2	3

(K7)

33. I enjoy expressing my thoughts and feelings in writing.

Disagree	No Opinion	Agree
1	2	3

(P8)

34. Persuasion is not one of my strengths.

Disagree	No Opinion	Agree
1	2	3

(K18)

35. I don't spend much time worrying about other people's problems.

Disagree	No Opinion	Agree
1	2	3

(K19)

36. Besides being boring, theoretical discussions are a waste of time.

Disagree	No Opinion	Agree
1	2	3

(K20)

37. I am shy at social gatherings.

Disagree	No Opinion	Agree
1	2	3

(K5)

38. I dislike participating in negotiations.

Disagree	No Opinion	Agree
1	2	3

(K17)

39. I have been criticized for being too emotional.

Disagree	No Opinion	Agree
1	2	3

(K23)

40. I feel uncomfortable when working with people who consistently make decisions without a proper analysis of the data.

Disagree	No Opinion	Agree
1	2	3

(K22)

41. One thing I am very good at is identifying the best solution to a problem.

Disagree	No Opinion	Agree
1	2	3

(P6)

42. I have to work on managing my time continually.

Disagree	No Opinion	Agree
1	2	3

(K23)

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The following statements relate to competencies. You should be prepared to provide specific details relative to your responses to these statements during interviews. Click on a 1, 2 or 3 to indicate whether you:

1) Disagree with the statement.
2) Have no opinion about the statement.
3) Agree with the statement.

1. I spend a lot of time in libraries and bookstores.

(P20)

Disagree	No Opinion	Agree
1	2	3

2. People have often come to me for advice on how to handle politically sensitive issues.

(R13)

Disagree	No Opinion	Agree
1	2	3

(R2)

3. What I am most proud of is what others have accomplished as a result of my mentoring.

Disagree	No Opinion	Agree
1	2	3

4. I have been criticized for being too far out in my ideas.

(R21)

Disagree	No Opinion	Agree
1	2	3

5. I am most productive when working closely with others to achieve goals.

(P3)

Disagree	No Opinion	Agree
1	2	3

6. In the past, people have taken risks to support my vision, mission or goals.

(R1)

Disagree	No Opinion	Agree
1	2	3

7. I have a history of making significant contributions as a member of a high performing team.

(R3)

Disagree	No Opinion	Agree
1	2	3

8. I have a gift for resolving conflict.

(R4)

Disagree	No Opinion	Agree
1	2	3

9. I have a reputation for keeping up with what's new in my field.

(R20)

Disagree	No Opinion	Agree
1	2	3

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10. I am known for my ability to build and maintain many relationships with all kinds of people. *(R5)*

Disagree	No Opinion	Agree
1	2	3

11. I have often been recognized for achieving results when others couldn't. *(R11)*

Disagree	No Opinion	Agree
1	2	3

12. I have been criticized for being too concerned about the difficulties of others. *(R19)*

Disagree	No Opinion	Agree
1	2	3

13. I am known for making timely decisions even when the risk of an error was high. *(R22)*

Disagree	No Opinion	Agree
1	2	3

14. People will verify my ability to facilitate win/win agreements. *(R17)*

Disagree	No Opinion	Agree
1	2	3

15. I am known for taking unique or unusual approaches to get results. *(R7)*

Disagree	No Opinion	Agree
1	2	3

16. I have often been recognized for my ability to get others to say yes. *(R18)*

Disagree	No Opinion	Agree
1	2	3

17. I have often been acknowledged for my ability to write proposals, reports, newsletters, articles or other business documents. *(R8)*

Disagree	No Opinion	Agree
1	2	3

18. I have often been acknowledged for going the extra mile to satisfy customers. *(R9)*

Disagree	No Opinion	Agree
1	2	3

19. I have often been invited back to speak to the same group. *(R15)*

Disagree	No Opinion	Agree
1	2	3

20. In the past, I have always been one of the first to get on board when changes occur. *(R10)*

Disagree	No Opinion	Agree
1	2	3

FIG 12H

21. I have been criticized for being too competitive.

Disagree	No Opinion	Agree
1	2	3

(R14)

22. I have often been acknowledged for my attention to detail.

Disagree	No Opinion	Agree
1	2	3

(R12)

23. I have been criticized for not handling sensitive organizational issues very well.

Disagree	No Opinion	Agree
1	2	3

(K13)

24. I have often been acknowledged for my ability to handle sensitive organizational issues.

Disagree	No Opinion	Agree
1	2	3

(R13)

25. I have often accomplished things others didn't believe I could.

Disagree	No Opinion	Agree
1	2	3

(R14)

26. I have a reputation for delivering powerful presentations.

Disagree	No Opinion	Agree
1	2	3

(R15)

27. I have often been recognized for my ability to turn things around financially.

Disagree	No Opinion	Agree
1	2	3

(R16)

28. I have been criticized for holding people accountable for their actions.

Disagree	No Opinion	Agree
1	2	3

(R16)

29. I have often played a key role in negotiating significant contracts or agreements.

Disagree	No Opinion	Agree
1	2	3

(R17)

30. It's been said that I could sell ice to Eskimos.

Disagree	No Opinion	Agree
1	2	3

(R18)

31. I am known for overcoming significant obstacles to reach goals.

Disagree	No Opinion	Agree
1	2	3

(R11)

FIG 121

32. I have often been recognized for my contributions to the disadvantaged. *(R19)*

Disagree	No Opinion	Agree
1	2	3

33. I have been recognized for my ability to resolve conflict in the workplace. *(R4)*

Disagree	No Opinion	Agree
1	2	3

34. Others consider me a resource for knowledge. *(R20)*

Disagree	No Opinion	Agree
1	2	3

35. My ability to get along with people has been a key to my greatest accomplishments. *(R5)*

Disagree	No Opinion	Agree
1	2	3

36. I have a reputation for using a disciplined approach to collecting and analyzing data *(R6)* to define, diagnose and resolve problems.

Disagree	No Opinion	Agree
1	2	3

37. I have a history of championing futuristic ideas when others predicted failure. *(R21)*

Disagree	No Opinion	Agree
1	2	3

38. I am known for acknowledging the contributions of every member of the team. *(R3)*

Disagree	No Opinion	Agree
1	2	3

39. Even outside of work, I am frequently asked to take a leadership role. *(R1)*

Disagree	No Opinion	Agree
1	2	3

40. I am known for my ability to calm people who are emotionally upset. *(R4)*

Disagree	No Opinion	Agree
1	2	3

41. I have often been acknowledged for my role in training and/or developing others. *(R2)*

Disagree	No Opinion	Agree
1	2	3

42. I have often been recognized for coming up with new ideas, methods or processes that *(R7)* improved results.

Disagree	No Opinion	Agree
1	2	3

FIG 12J

43. I have often been recognized for doing a good job of editing other people's writing. *(R8)*

Disagree	No Opinion	Agree
1	2	3

44. I am known for standing up for customers. *(R9)*

Disagree	No Opinion	Agree
1	2	3

45. I have often been acknowledged for my ability to adapt quickly to changes. *(R10)*

Disagree	No Opinion	Agree
1	2	3

46. I have a reputation for always being prepared. *(R12)*

Disagree	No Opinion	Agree
1	2	3

47. I have often been recognized for my ability to maintain my composure in emotionally charged situations. *(R23)*

Disagree	No Opinion	Agree
1	2	3

48. I have often been recognized for my ability to make good decisions under pressure. *(R22)*

Disagree	No Opinion	Agree
1	2	3

49. People will verify that I rarely, if ever, attempt to resolve a problem without a disciplined *(R6)* approach to gathering and analyzing the appropriate data first.

Disagree	No Opinion	Agree
1	2	3

50. I have often been recognized for my ability to manage my time and priorities well. *(R23)*

Disagree	No Opinion	Agree
1	2	3

FIG 12K

§2																							
Competency #	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
R	2	2	2	3	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2
K	2	1	1	1	2	1	2	1	1	2	1	1	1	1	1		2	2	2	1	2	2	2
P		1	1			1		1	1		1	1	1	1	1	2				1			

FIG. 13

PERSONAL COMPETENCY INVENTORY

A REPORT ON

John Doe
Candidate for Position of
Sales Representative

December 22, 1999

FIG 14A

CANDIDATE STRENGTHS

The information in this report is based solely on the analysis of the candidate's responses to the PERSONAL COMPETENCY INVENTORY (PCI) questionnaire. Candidates are instructed to respond to the PCI questionnaire as honestly as possible to ensure a suitable fit between their strengths and position requirements.

The following competencies are listed in order of the candidate's strengths. It is highly recommended that hiring authorities confirm the candidate's competency strengths during screening and selection interviews. Sample interview questions are provided in the CPP report. For additional assistance in designing and implementing selection, performance management and succession planning processes please contact "http://www.dnaskills.com".

1 Self Management
2 Decision Making
3 Futuristic Thinking
4 Continuous Learning
5 Empathy
6 Persuasion
7 Negotiation
8 Management
9 Presenting
10 Personal Effectiveness
11 Diplomacy
12 Planning/Organizing
13 Goal Orientation
14 Flexibility
15 Customer Service
16 Written Communication
17 Creativity/Innovation
18 Problem Solving
19 Interpersonal Skills
20 Conflict Management
21 Teamwork
22 Employee Development/Coaching
23 Leadership

FIG. 14B

Subject: Joan Lark   Reference Number: 491   **Self**

Please take a few minutes to complete this survey about your day-to-day practices.

As you complete this survey, please remember:

You will be asked to answer TWO QUESTIONS for each of the behaviors:

"How often does it occur?"   — You should indicate how often you perform the behavior now.
"How often should it occur?"   — You should indicate how often you should perform the behavior.

Be sure to answer BOTH QUESTIONS for each practice.
There are no "Right" or "Wrong" answers. Just try to be fair and honest.

RETURN BY
1/6/2000

Please complete this survey based upon your interactions with others.

Choose ONE in EACH Column	
PERFORMANCE	EXPECTATIONS

PERFORMANCE: How often do you...
EXPECTATIONS: How often should you...

Columns: Almost Never - Sometimes - Generally - Almost Always - Always (for both PERFORMANCE and EXPECTATIONS)

1) Demonstrate loyalty to constituents ....

2) Obtain commitment from others to a vision or mission ....

3) Inspire and lead others to achieve results ....

4) Involve others in decisions which affect them ....

5) Inspire loyalty and the willingness to take risks ....

6) Identify and address issues limiting team effectiveness ....

7) Contribute to team effectiveness ....

8) Follow through on team commitments and responsibilities ....

9) Demonstrate loyalty to team members ....

10) Make team goals and objectives a priority ....

11) Utilize logical systems and methodologies to diagnose and define problems .....

12) Anticipate barriers and/or problems ....

13) Select best solution based on analysis of data ....

14) Gather and evaluate all relevant input before selecting optimum solutions to problems ....

15) Objectively analyze data to determine cause, scope and impact of problems .....

PERFORMANCE	EXPECTATIONS
COMPLETE BOTH COLUMNS	

FIG. 15

Subject: Joan Lark   Reference Number: 493   **Boss**

Please take a few minutes to complete this CONFIDENTIAL SURVEY about the day-to-day practices of the person whose name is listed above. Unless you are the immediate supervisor of this person, your responses will be combined with the responses of others and not individually identified.

As you complete this survey, please remember:

You will be asked to answer TWO QUESTIONS for each of the practices:

"How often does it occur?"   — Indicate how often you believe the practice occurs NOW.
"How often should it occur?"   — Indicate how often you EXPECT or believe the practice should occur.

Be sure to answer BOTH QUESTIONS for each practice.
There are no "Right" or "Wrong" answers. Just try to be fair and honest.
SKIP ANY PRACTICE you have not observed or about which you can't make a judgment.

RETURN BY
1/6/2000

Please complete each question based upon your observations and interactions with this person.

Choose ONE in EACH Column	
PERFORMANCE	EXPECTATIONS

PERFORMANCE: How often does this person...
EXPECTATIONS: How often should this person...

1) Demonstrate loyalty to constituents
2) Obtain commitment from others to a vision or mission
3) Inspire and lead others to achieve results
4) Involve others in decisions which affect them
5) Inspire loyalty and the willingness to take risks

6) Identify and address issues limiting team effectiveness
7) Contribute to team effectiveness
8) Follow through on team commitments and responsibilities
9) Demonstrate loyalty to team members
10) Make team goals and objectives a priority

11) Utilize logical systems and methodologies to diagnose and define problems
12) Anticipate barriers and/or problems
13) Select best solution based on analysis of data
14) Gather and evaluate all relevant input before selecting optimum solutions to problems
15) Objectively analyze data to determine cause, scope and impact of problems

PERFORMANCE	EXPECTATIONS
COMPLETE BOTH COLUMNS	

FIG. 16

Subject: Joan Lark   Reference Number: 495   **Team**

Please take a few minutes to complete this CONFIDENTIAL SURVEY about the day-to-day practices of the person whose name is listed above. Unless you are the immediate supervisor of this person, your responses will be combined with the responses of others and not individually identified.

As you complete this survey, please remember:

You will be asked to answer TWO QUESTIONS for each of the practices:

"How often does it occur?"   — Indicate how often you believe the practice occurs NOW.
"How often should it occur?"   — Indicate how often you EXPECT or believe the practice should occur.

Be sure to answer BOTH QUESTIONS for each practice.
There are no "Right" or "Wrong" answers. Just try to be fair and honest.
SKIP ANY PRACTICE you have not observed or about which you can't make a judgment.

RETURN BY
1/6/2000

Please complete each question based upon your observations and interactions with this person.

Choose ONE in EACH Column	
PERFORMANCE	EXPECTATIONS

PERFORMANCE: How often does this person...
EXPECTATIONS: How often should this person...

Almost Never · Sometimes · Generally · Almost Always · Always

1) Demonstrate loyalty to constituents ....
2) Obtain commitment from others to a vision or mission ....
3) Inspire and lead others to achieve results ....
4) Involve others in decisions which affect them ....
5) Inspire loyalty and the willingness to take risks ....

6) Identify and address issues limiting team effectiveness ....
7) Contribute to team effectiveness ....
8) Follow through on team commitments and responsibilities ....
9) Demonstrate loyalty to team members ....
10) Make team goals and objectives a priority ....

11) Utilize logical systems and methodologies to diagnose and define problems .....
12) Anticipate barriers and/or problems ....
13) Select best solution based on analysis of data ....
14) Gather and evaluate all relevant input before selecting optimum solutions to problems ....
15) Objectively analyze data to determine cause, scope and impact of problems .....

PERFORMANCE	EXPECTATIONS
COMPLETE BOTH COLUMNS	

FIG. 17

Competency DNA Discovery 360

Target Training International

—

Joan Lark

Thursday, December 23, 1999

Discovery 360° Feedback™

FIG. 18A

CATEGORY REPORT

Leadership

	N	Gap Size	Average Gap Size	Gap Size Distribution					
			0 0.5 1 1.5 2	R	0	1	2	3	4
Self	1	1.00			2	1	2		
Boss	1	1.00			3		1	1	
Team	1	0.60			3	1	1		

Teamwork

	N	Gap Size	Average Gap Size	Gap Size Distribution					
			0 0.5 1 1.5 2	R	0	1	2	3	4
Self	1	0.80			2	2	1		
Boss	1	1.00			1	3	1		
Team	1	1.20			2		3		

Problem Solving

	N	Gap Size	Average Gap Size	Gap Size Distribution					
			0 0.5 1 1.5 2	R	0	1	2	3	4
Self	1	0.60			3	1	1		
Boss	1	1.20			3		1		1
Team	1	0.80			2	2	1		

FIG. 18β

INDIVIDUAL PRACTICES REPORT

How often does this person...

1) Demonstrate loyalty to constituents

	N	Gap Size	R	0	1	2	3	4
Self	1	2.00					1	
Boss	1	0.00		1				
Team	1	0.00		1				

2) Obtain commitment from others to a vision or mission

	N	Gap Size	R	0	1	2	3	4
Self	1	2.00					1	
Boss	1	0.00			1			
Team	1	1.00				1		

3) Inspire and lead others to achieve results

	N	Gap Size	R	0	1	2	3	4
Self	1	0.00			1			
Boss	1	3.00					1	
Team	1	2.00				1		

4) Involve others in decisions which affect them

	N	Gap Size	R	0	1	2	3	4
Self	1	0.00		1				
Boss	1	2.00				1		
Team	1	0.00		1				

5) Inspire loyalty and the willingness to take risks

	N	Gap Size	R	0	1	2	3	4
Self	1	1.00			1			
Boss	1	0.00		1				
Team	1	0.00		1				

6) Identify and address issues limiting team effectiveness

	N	Gap Size	R	0	1	2	3	4
Self	1	1.00			1			
Boss	1	1.00			1			
Team	1	2.00				1		

7) Contribute to team effectiveness

	N	Gap Size	R	0	1	2	3	4
Self	1	0.00		1				
Boss	1	2.00				1		
Team	1	0.00		1				

8) Follow through on team commitments and responsibilities

	N	Gap Size	R	0	1	2	3	4
Self	1	0.00		1				
Boss	1	1.00			1			
Team	1	2.00				1		

9) Demonstrate loyalty to team members

	N	Gap Size	R	0	1	2	3	4
Self	1	2.00				1		
Boss	1	1.00			1			
Team	1	2.00				1		

FIG. 18C

INDIVIDUAL PRACTICES REPORT

How often does this person...

10) Make team goals and objectives a priority
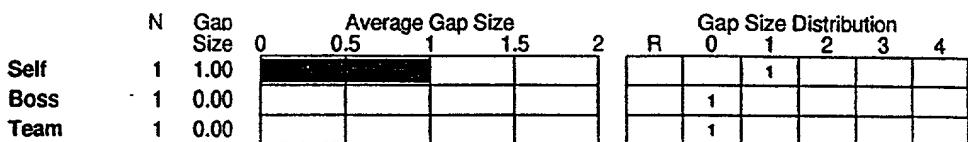
	N	Gap Size	Average Gap Size		R	Gap Size Distribution 0	1	2	3	4
Self	1	1.00	(bar to 1.0)				1			
Boss	1	0.00				1				
Team	1	0.00				1				

11) Utilize logical systems and methodologies to diagnose and define problems

	N	Gap Size	Average Gap Size		R	Gap Size Distribution 0	1	2	3	4
Self	1	0.00				1				
Boss	1	0.00				1				
Team	1	1.00	(bar to 1.0)				1			

12) Anticipate barriers and/or problems

	N	Gap Size	Average Gap Size		R	Gap Size Distribution 0	1	2	3	4
Self	1	2.00	(bar to 2.0)						1	
Boss	1	2.00	(bar to 2.0)						1	
Team	1	1.00	(bar to 1.0)					1		

13) Select best solution based on analysis of data

	N	Gap Size	Average Gap Size		R	Gap Size Distribution 0	1	2	3	4
Self	1	1.00	(bar to 1.0)					1		
Boss	1	4.00	(bar beyond 2.0)							1
Team	1	0.00				1				

14) Gather and evaluate all relevant input before selecting optimum solutions to problems

	N	Gap Size	Average Gap Size		R	Gap Size Distribution 0	1	2	3	4
Self	1	0.00				1				
Boss	1	0.00				1				
Team	1	2.00	(bar to 2.0)						1	

15) Objectively analyze data to determine cause, scope and impact of problems

	N	Gap Size	Average Gap Size		R	Gap Size Distribution 0	1	2	3	4
Self	1	0.00				1				
Boss	1	0.00				1				
Team	1	0.00				1				

FIG. 18D
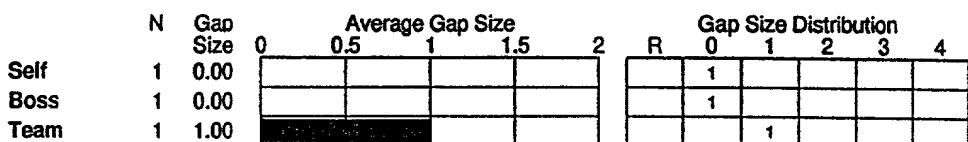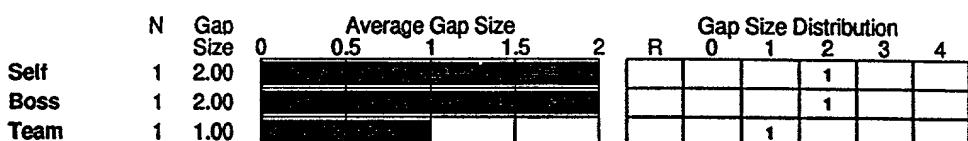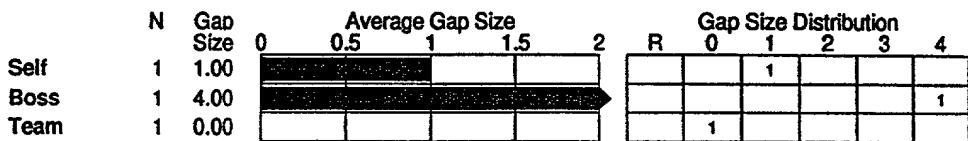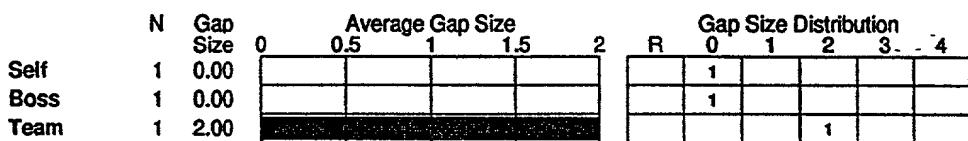
OVERVIEW REPORT

STRENGTHS / BOSS

The following are your Strengths. These practices have the smallest average gap size. Continue performing these in the manner you are performing them.

	Practice	Gap Size
1)	Demonstrate loyalty to constituents	0.00
2)	Obtain commitment from others to a vision or mission	0.00
5)	Inspire loyalty and the willingness to take risks	0.00
10)	Make team goals and objectives a priority	0.00
11)	Utilize logical systems and methodologies to diagnose and define problems	0.00

POSSIBLE DEVELOPMENTAL NEEDS / BOSS

The following are your Developmental Needs. These practices have the largest average gap sizes.

	Practice	Gap Size	
13)	Select best solution based on analysis of data	4.00	Check
3)	Inspire and lead others to achieve results	3.00	Check
12)	Anticipate barriers and/or problems	2.00	
7)	Contribute to team effectiveness	2.00	
4)	Involve others in decisions which affect them	2.00	

Examine each of these practices to see how many people answered each question. Also examine the Gap Distribution data to locate the degree of change desired by the majority.

Select priorities to develop by considering the importance of the practice and your ability to make the changes people desire.

FIG 18E

OVERVIEW REPORT

STRENGTHS / TEAM

The following are your Strengths. These practices have the smallest average gap size. Continue performing these in the manner you are performing them.

	Practice	Gap Size
1)	Demonstrate loyalty to constituents	0.00
4)	Involve others in decisions which affect them	0.00
5)	Inspire loyalty and the willingness to take risks	0.00
7)	Contribute to team effectiveness	0.00
10)	Make team goals and objectives a priority	0.00

POSSIBLE DEVELOPMENTAL NEEDS / TEAM

The following are your Developmental Needs. These practices have the largest average gap sizes.

	Practice	Gap Size
14)	Gather and evaluate all relevant input before selecting optimum solutions to problems	2.00
9)	Demonstrate loyalty to team members	2.00
8)	Follow through on team commitments and responsibilities	2.00
6)	Identify and address issues limiting team effectiveness	2.00
3)	Inspire and lead others to achieve results	2.00

Examine each of these practices to see how many people answered each question. Also examine the Gap Distribution data to locate the degree of change desired by the majority.

Select priorities to develop by considering the importance of the practice and your ability to make the changes people desire.

FIG. 18F

SUMMARY REPORT

RESPONSES FROM BOSS

The following list displays the practices on the survey for this group arranged by Average Gap Size.

	Practice	Gap Size	
1)	Demonstrate loyalty to constituents	0.00	
2)	Obtain commitment from others to a vision or mission	0.00	
5)	Inspire loyalty and the willingness to take risks	0.00	
10)	Make team goals and objectives a priority	0.00	
11)	Utilize logical systems and methodologies to diagnose and define problems	0.00	
14)	Gather and evaluate all relevant input before selecting optimum solutions to problems	0.00	
15)	Objectively analyze data to determine cause, scope and impact of problems	0.00	
6)	Identify and address issues limiting team effectiveness	1.00	
8)	Follow through on team commitments and responsibilities	1.00	
9)	Demonstrate loyalty to team members	1.00	
4)	Involve others in decisions which affect them	2.00	
7)	Contribute to team effectiveness	2.00	
12)	Anticipate barriers and/or problems	2.00	
3)	Inspire and lead others to achieve results	3.00	Check
13)	Select best solution based on analysis of data	4.00	Check

FIG. 18G

SUMMARY REPORT

RESPONSES FROM TEAM

The following list displays the practices on the survey for this group arranged by Average Gap Size.

	Practice	Gap Size
1)	Demonstrate loyalty to constituents	0.00
4)	Involve others in decisions which affect them	0.00
5)	Inspire loyalty and the willingness to take risks	0.00
7)	Contribute to team effectiveness	0.00
10)	Make team goals and objectives a priority	0.00
13)	Select best solution based on analysis of data	0.00
15)	Objectively analyze data to determine cause, scope and impact of problems	0.00
2)	Obtain commitment from others to a vision or mission	1.00
11)	Utilize logical systems and methodologies to diagnose and define problems	1.00
12)	Anticipate barriers and/or problems	1.00
3)	Inspire and lead others to achieve results	2.00
6)	Identify and address issues limiting team effectiveness	2.00
8)	Follow through on team commitments and responsibilities	2.00
9)	Demonstrate loyalty to team members	2.00
14)	Gather and evaluate all relevant input before selecting optimum solutions to problems	2.00

FIG. 18H

SUMMARY REPORT

For the practices with the largest Gap Sizes, examine each practice to see how many people completed the surveys and the degree of change desired by the majority.

In selecting priorities for development, also consider the importance of the practices, and your ability to make the changes people desire.

FIG. 18 I

Competency DNA Discovery 360

Target Training International

———

Joan Lark

Thursday, December 23, 1999

Discovery 360° Feedback™

FIG. 19A

COMPARATIVE REPORT

Current Data: 6/14/2000
Previous Data: 12/23/1999

		N	Gap Size	Average Gap Size (0 — 0.5 — 1 — 1.5 — 2)	
1) Demonstrate loyalty to constituents	Self	1	2.00		Develop
		1	2.00		Develop
	Boss	1	2.00		Develop
		1	0.00		
	Team	1	2.00		Develop
		1	0.00		

		N	Gap Size	Average Gap Size (0 — 0.5 — 1 — 1.5 — 2)	
2) Obtain commitment from others to a vision or mission	Self	1	2.00		Develop
		1	2.00		
	Boss	1	2.00		Develop
		1	0.00		
	Team	1	2.00		Develop
		1	1.00		

		N	Gap Size	Average Gap Size (0 — 0.5 — 1 — 1.5 — 2)	
3) Inspire and lead others to achieve results	Self	1	2.00		Develop
		1	0.00		
	Boss	1	2.00		Develop
		1	3.00		
	Team	1	2.00		Develop
		1	2.00		

		N	Gap Size	Average Gap Size (0 — 0.5 — 1 — 1.5 — 2)	
4) Involve others in decisions which affect them	Self	1	2.00		Develop
		1	0.00		
	Boss	1	2.00		Develop
		1	2.00		
	Team	1	2.00		Develop
		1	0.00		

		N	Gap Size	Average Gap Size (0 — 0.5 — 1 — 1.5 — 2)	
5) Inspire loyalty and the willingness to take risks	Self	1	2.00		Develop
		1	1.00		
	Boss	1	2.00		Develop
		1	0.00		
	Team	1	2.00		Develop
		1	0.00		

FIG. 19B

COMPARATIVE REPORT

Current Data: 6/14/2000
Previous Data: 12/23/1999

		N	Gap Size	Average Gap Size	
6) Identify and address issues limiting team effectiveness	Self	1	2.00		Develop
		1	1.00		
	Boss	1	2.00		Develop
		1	1.00		
	Team	1	2.00		Develop
		1	2.00		

		N	Gap Size	Average Gap Size	
7) Contribute to team effectiveness	Self	1	2.00		Develop
		1	0.00		
	Boss	1	2.00		Develop
		1	2.00		
	Team	1	2.00		Develop
		1	0.00		

		N	Gap Size	Average Gap Size	
8) Follow through on team commitments and responsibilities	Self	1	2.00		Develop
		1	0.00		
	Boss	1	2.00		Develop
		1	1.00		
	Team	1	2.00		Develop
		1	2.00		

		N	Gap Size	Average Gap Size	
9) Demonstrate loyalty to team members	Self	1	2.00		Develop
		1	2.00		
	Boss	1	2.00		Develop
		1	1.00		
	Team	1	2.00		Develop
		1	2.00		

		N	Gap Size	Average Gap Size	
10) Make team goals and objectives a priority	Self	1	2.00		Develop
		1	1.00		
	Boss	1	2.00		Develop
		1	0.00		
	Team	1	2.00		Develop
		1	0.00		

FIG. 19C

COMPARATIVE REPORT

Current Data: 6/14/2000
Previous Data: 12/23/1999

		N	Gap Size	Average Gap Size	
11) Utilize logical systems and methodologies to diagnose and define problems	Self	1	2.00		Develop
		1	0.00		
	Boss	1	2.00		Develop
		1	0.00		
	Team	1	2.00		Develop
		1	1.00		

		N	Gap Size	Average Gap Size	
12) Anticipate barriers and/or problems	Self	1	2.00		Develop
		1	2.00		
	Boss	1	2.00		Develop
		1	2.00		
	Team	1	2.00		Develop
		1	1.00		

		N	Gap Size	Average Gap Size	
13) Select best solution based on analysis of data	Self	1	2.00		Develop
		1	1.00		
	Boss	1	2.00		Develop
		1	4.00		
	Team	1	2.00		Develop
		1	0.00		

		N	Gap Size	Average Gap Size	
14) Gather and evaluate all relevant input before selecting optimum solutions to problems	Self	1	2.00		Develop
		1	0.00		
	Boss	1	2.00		Develop
		1	0.00		
	Team	1	2.00		Develop
		1	2.00		

		N	Gap Size	Average Gap Size	
15) Objectively analyze data to determine cause, scope and impact of problems	Self	1	2.00		Develop
		1	0.00		
	Boss	1	2.00		Develop
		1	0.00		
	Team	1	2.00		Develop
		1	0.00		

FIG. 19D

Sample (Completed)
Structured Interview Candidate Record

Position: Office Manager

Candidate: John Doe

<u>Weight</u> = How important a competency is in relation to other competencies.
<u>Rating</u> = How a candidate scores on demonstrated examples of a competency.
<u>W x R</u> = The Weight of the competency multiplied by the candidate's Rating

Top 5 Competencies from DNA Report

Competency/ Selection Criteria	Weight 5-1	Rating 5-1	Score W x R	Reason for Rating
Leadership/Management	5	2	10	His only example of achieving results through others was the Boy Scout Fundraiser.
Goal Orientation	4	3	12	Put himself through college. His drive to get the new product launched despite obstacles demonstrated a fair amount of goal orientation.
Teamwork	3	3	9	Working with four departments, he constantly spoke highly of his team's results. Defended team efforts when challenged.
Conflict Management	2	1	2	Wasn't able to describe his role in the conflict with his former boss. Asking HR to help him shows lack of competency.
Continuous Learning	1	2	2	His outside reading, participation in association conferences and his incorporation of concepts he learned demonstrates competency in continuous learning.
Total Score			35	

Weight of the Competency

5= most important
1= least important

Rating of the candidate's answers to the Competency questions.
5=Excellent   1=Poor

Weight X Rating = Total score per competency

Total score for the candidate

Notes on candidate's responses to the interview questions.

DNA IF 8/25/99

FIG. 20A

Sample (Completed)
Structured Interview Candidate Record

Position: Office Manager

Candidate: Jane Smith

<u>Weight</u> = How important a competency is in relation to other competencies.
<u>Rating</u> = How a candidate scores on demonstrated examples of a competency.
<u>W x R</u> = The Weight of the competency multiplied by the candidate's Rating

Competency/ Selection Criteria	Weight 5-1	Rating 5-1	Score W x R	Reason for Rating
Leadership/Management	5	4	20	Her turn-around of the department with such low morale demonstrated a significant amount of leadership.
Goal Orientation	4	3	12	Her persistence in achieving her career goal with the organization despite its financial difficulties and her achievements in cost-cutting demonstrated competency in goal orientation.
Teamwork	3	3	9	Her work with each of the departments while they reorganized and her achievements with them in cost-cutting projects demonstrated significant teamwork competency.
Conflict Management	2	2	4	Her role in resolving the dispute between the receptionist and the sales manager demonstrated an ability to mediate.
Continuous Learning	1	2	2	Her self-taught knowledge of software applications as well as her use of Community College resources demonstrated a competency in continuous learning.
Total Score			47	

DNA IF 8/25/99

FIG. 21

Sample (Completed)
Structured Interview Candidate Record

Position: Office Manager   Candidate: Len Wu

Weight = How important a competency is in relation to other competencies.
Rating = How a candidate scores on demonstrated examples of a competency.
W x R = The Weight of the competency multiplied by the candidate's Rating

Competency/ Selection Criteria	Weight 5-1	Rating 5-1	Score W x R	Reason for Rating
Leadership/Management	5	3	15	His story about how he motivated the team to go further than their project scope demonstrated a fair amount of leadership.
Goal Orientation	4	4	16	His tenacity in getting his green card and starting a small business to support himself demonstrates a significant amount of goal orientation.
Teamwork	3	3	9	His story about helping the team get back on track after their failed project demonstrated a high level of teamwork competency.
Conflict Management	2	3	6	Len's role in resolving his conflict with his boss showed a high degree of conflict management competency.
Continuous Learning	1	2	2	Len's independent correspondence coursework in contract law demonstrates a high degree of leaning competency.
Total Score			48	

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FIG 22

FIG. 23

Sample
Structured Interview Candidate Comparison

Competency/ Selection Criteria	Leadership/ Management	Goal Orientation	Teamwork	Conflict Management	Continuous Learning			Total Score
Weight x Rating (W x R)	W x R	W x R	W x R	W x R	W x R			
Candidates								
John Doe	10	12	9	2	2			35
Jane Smith	20	12	9	4	2			47
Len Wu	15	16	9	6	2			48

Top 5 Competencies from DNA Report

Comparison of candidate's total scores

Comparison of each candidate's individual competency score.

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COMBINED DECLARATION AND POWER OF ATTORNEY

(ORIGINAL, DESIGN, NATIONAL STAGE OF PCT,
SUPPLEMENTAL, DIVISIONAL, CONTINUATION OR CIP)

As a below named inventor, I hereby declare that:

TYPE OF DECLARATION

This declaration is of the following type:

☒   original
☐   design
☐   supplemental
☐   national stage of PCT
☐   divisional
☐   continuation
☐   continuation-in-part

INVENTORSHIP IDENTIFICATION

My residence, post office address and citizenship are as stated below next to my name. I believe I am the original, and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

POSITION ANALYSIS SYSTEM AND METHOD

==

CERTIFICATION UNDER 37 CFR 1 8(a) and 1 10

I hereby certify that, on the date shown below, this correspondence is being

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37 CFR 1 8(a)   37 CFR 1 10

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Date _____   _____

                                       Wanda R Webb

SPECIFICATION IDENTIFICATION

the specification of which:

☒   is attached hereto.

❏   was filed on _____ as Serial No.
      0_/___,___ or Express Mail No., as Serial No. not
      yet known _____ and was amended on
      _____ (if applicable).

❏   was described and claimed in PCT International
      Application No. _____ filed on _____
      and as amended on PCT Article 19 on _____
      (if any).

ACKNOWLEDGMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR

I hereby state that I have reviewed and understand the
contents of the above-mentioned specification, including the
claims, as amended by any amendment referred to above (if any).

I acknowledge the duty to disclose all information known to
me to be material to patentability of this application in
accordance with Title 37, Code of Federal Regulations, § 1.56
(a).

❏   In compliance with this duty there is attached an
      information disclosure statement 37 CFR 1.97.

❏   **CLAIM FOR BENEFIT OF EARLIER U.S./PCT
      APPLICATION(S) UNDER 35 U.S.C. 120**

I hereby claim the benefit under Title 35, United States
Code, § 120 of any United States application(s) or PCT
international application(s) designating the United States of
America that is/are listed below and, insofar as the subject
matter of each of the claims of the application is not disclosed
in that/those prior application(s) in the manner provided by the
first paragraph of Title 35, United States Code, § 112, I
acknowledge the duty to disclose material information as defined
in Title 37, Code of Federal Regulations, § 1.56(a) which
occurred between the filing date of the prior application(s) and
the national or PCT international filing date of this
application.

2

===
PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATION(S)
DESIGNATING THE U.S. FOR BENEFIT UNDER 35 USC 120
===
U.S. APPLICATION(S)   STATUS (Check One)
===

U.S. APPLICATION(S)	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
❏ __/_____	_____	_____	_____	_____
❏ __/_____	_____	_____	_____	_____
❏ __/_____	_____	_____	_____	_____

❏ PCT APPLICATION(S) DESIGNATING THE U.S._____

_____

===
PCT APPLICATION NUMBER	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)
===

❏ _____	_____	_____
❏ _____	_____	_____
❏ _____	_____	_____

35 USC 119 PRIORITY CLAIM, IF ANY, FOR ABOVE LISTED
U.S./PCT APPLICATIONS

===
DETAILS OF FOREIGN APPLICATION FROM WHICH PRIORITY
CLAIMED UNDER 35 USC 119

===
ABOVE APPLICATION NUMBER	COUNTRY APPLICATION NUMBER	DATE OF FILING (day, mo.yr.)	DATE OF ISSUE (day,mo.yr.)
===

1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____

❏ **PRIORITY CLAIM**

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed.

    ❏   no such applications have been filed.
    ❏   such applications have been filed as follows.

earliest foreign application(s), if any filed within 12 months (6 months for design) prior to this U.S. application

```
=================================================================
COUNTRY    APPLICATION NUMBER  DATE OF FILING    PRIORITY CLAIMED
                               (day,month,year)  UNDER 37 USC 119
=================================================================
```

    ❏ YES ❏ NO

    ❏ YES ❏ NO

    ❏ YES ❏ NO

all foreign application(s), if any filed more than 12 months (6 months for design) prior to this U.S. application

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=================================================================
```

POWER OF ATTORNEY

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

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4

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DECLARATION

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

5

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6